

Agencies of Washington State Government

GENERAL RECORDS RETENTION SCHEDULES



*Office of the Secretary of State
Division of Archives and Records Management*

*Approved and Issued by the
Washington State Records Committee
SUMMER 2001*

FOR USE BY Agencies of
Washington State Government

**GENERAL RECORDS
RETENTION SCHEDULES**



*Office of the Secretary of State
Division of Archives and Records Management*

Office of the Secretary of State
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WASHINGTON STATE RECORDS COMMITTEE

Members 2001	Members 2002
Phillip Coombs , State Archivist (Jan-June 2001)	Jerry Handfield , State Archivist
Steve Excell , Acting State Archivist (July-Dec 2001)	Diana Evans , Office of the State Auditor
Diana Evans , Office of the State Auditor	Susan Carlson , Office of the Attorney General
Suzanne Shaw , Office of the Attorney General	Linda Steinmann , Office of Financial Management
Linda Steinmann , Office of Financial Management	

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¹ Additional information and review provided by the Records Management sections of: University of Washington, Central Washington University, Western Washington University, Office of Financial Management, Dept. of Health, and Dept. of Information Services

DIVISION OF ARCHIVES AND RECORDS MANAGEMENT SERVICES AND ASSISTANCE

P.O. Box 40238 ♦ 1129 Washington St SE ♦ Olympia, WA 98504-0238

Washington State Archives and Records Management is a division of the Office of the Secretary of State. The division operates under the provisions of Chapter 40.14 RCW, the Public Records Act, which also regulates the disposition of all state and local government records.

TECHNICAL ASSISTANCE

The Division of Archives and Records Management provides technical advice and support for compliance with legal requirements and the development of systems for managing records. The Division provides standards, guidelines and advice on records retention scheduling, micrographics, filing, information retrieval, essential records protection, disaster preparedness and recovery, records center operations, public disclosure, and records media.

MICROFILM AND DOCUMENT CONSERVATION

The Division of Archives and Records Management provides imaging production services on a charge-back basis, including source-document microfilming, output of digital information to microfilm, microfilm processing and duplication.

The Division of Archives and Records Management is responsible for identifying, storing, preserving, and providing public access to state and local government records that have continuing historical value beyond their usefulness to the agencies which create them.

WASHINGTON STATE ARCHIVES AND RECORDS MANAGEMENT DIRECTORY

<http://www.secstate.wa.gov/archives/>

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RECORDS MANAGEMENT SERVICES	(360) 586-4902	(360) 586-0368	DCASLER@SECSTATE.WA.GOV
ARCHIVES ADMINISTRATION	(360) 753-5485	(360) 664-8814	BVERONA@SECSTATE.WA.GOV
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STATE RECORDS CENTER	(360) 753-5468	(360) 586-9137	RECORDSCENTER@SECSTATE.WA.GOV

GENERAL INFORMATION

PUBLIC RECORDS DEFINED

Public records are recorded information, regardless of physical form. The term “public records” applies to any paper, correspondence, form, bound volume, film, magnetic medium, drawing or other document, regardless of form or physical characteristics, that has been created or received by any state agency during the course of public business (40.14.010 RCW Preservation and Destruction of Public Records). All public records are required to be maintained and disposed of by state agencies in accordance with the provisions of 40.14 RCW.

All records maintained in electronic format are included in the definition of a “public record” and are governed under the terms of the Preservation and Destruction of Public Records act.

E-mail is a means of sending or receiving information, not a type of record. Information generated or received on an e-mail system needs to be managed according to the informational content of the message. (Appendix C.)

STATE RECORDS COMMITTEE

“It shall be the duty of the records committee to approve, modify, or disapprove the recommendations on retention schedules of all files of public records...” (40.14.050 RCW). The State Records Committee is comprised of the State Archivist and representatives of the Office of the Attorney General, Office of Financial Management and the Office of the State Auditor.

THE WASHINGTON STATE ARCHIVES

The Washington State Archives was established by Chapter 40.14 RCW to provide centralized records management services to state and local governments. It is responsible for assisting government agencies to comply with Washington State's laws pertaining to the creation, maintenance and disposal of public records.

STATE AGENCY RECORDS OFFICERS

All state agency records officers have a fundamental responsibility to develop a comprehensive records management program. Beyond meeting an agency's business needs, a well designed program contains three basic goals: 1) to fulfill legal mandates and responsibilities; 2) to store records in the most efficient and cost-effective manner possible; and 3) to assure access, protection, and security to the documentary history of government (RCW 40.14.040).

GENERAL INSTRUCTIONS

CUSTODY AND DISPOSITION OF STATE AGENCY RECORDS

Public records must be retained in the custody of the office of record and may be destroyed or transferred only in accord with records retention schedules that have been approved by the State Records Committee. Agencies are encouraged to move their inactive records out of more expensive office space to the State Records Center for significant storage cost savings while the records await the expiration of their retention periods.

TRANSFER OF RECORDS TO THE STATE ARCHIVES

Records designated, as "Archival" on the State General Schedule must be transferred to the custody of the State Archives at the end of the retention period.

AUTHORITY

The State Records Committee may approve and issue records retention schedules that give state agencies the authority to dispose of or transfer commonly held types of public records. The State General Schedule defines records by governmental function rather than by record type. Consequently, in some cases several "types" of records may be grouped together under one description that encompasses a particular function.

Some agencies may choose to keep some records longer than the designated retention period for administrative or other purposes. Those records are disclosable under the terms of the Public Disclosure Act and are subject to the legal process of discovery for the entire period for which they are retained.

RETENTION PERIOD

The retention periods stated in the State General Schedule are the legal minimum that the law, regulation or official policy of the state will allow.

If an agency has a need to retain a records series for a time period other than that stated in the State General Schedule, the agency records officer must submit a request to the State Records Committee and provide sufficient justification for the deviation.

The State General Schedule column entitled "Retention Period - Official Copy" refers to each agency's primary copy and gives the appropriate agency retention. For some series, the series description will state that a specific agency has responsibility for the primary copy. In these instances, the described column reflects how long other state agencies need to retain their copies.

MODIFICATION AND ADDITIONS

Agencies may not alter or modify State General Schedule items unilaterally. Proposed changes and additions to the State General Schedule may be submitted to the State Records Management Office, where they will be reviewed on a periodic basis.

PREVIOUS VERSIONS OF THE STATE GENERAL SCHEDULE

This State General Schedule supersedes all previous versions. Retention changes to any series will be electronically updated at the State Records Center. Any boxes stored under a revised State General Schedule series will have their destruction dates recalculated according to the revised retention period.

In this 2001 revision of the State General Schedule, all the records series are dated as to their original or revised approval dates at the end of each series description. Series new to this specific edition will be noted as such in the same manner. The numbered edition and date is annotated at the bottom right-hand corner of each page.

DISPOSITION AUTHORITY

The State General Schedule provides blanket authority for the disposition of records series that it contains. These series should not appear on an agency's unique retention schedule.

RECORDS COPIES

The State General Schedule reflects the retention and disposition of the primary record regardless of media (see [AppendixD](#) for Imaging).. Copies (regardless of media - see [AppendixD](#) for Imaging).) used for specific legal, fiscal, or administrative purposes may be retained either using the retention for the primary copy or scheduled separately if a different retention is required. Copies of these documents preserved only for convenience of reference or informational purposes may be discarded when no longer needed. (See *GS 50* for additional authority regarding copies.)

AGENCY UNIQUE RECORDS

The State General Schedule does not attempt to cover records unique to particular agencies or to agency programs. Records retention schedules for such records must be submitted separately to the State Records Committee via the State Records Management Office.

CUT OFF (START OF RETENTION)

If not specifically stated in the retention column of the records series, it automatically defaults to "date of document". *Example: GS01001 WARRANT REGISTRY SUMMARY has a 6-year retention; GS 01040 BUDGET PREPARATION WORK FILE has an End of Biennium plus 2 years. GS01001 the retention starts counting the date the document is created while GS01040 starts counting the 2-year retention at the end of the biennium.*

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

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STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

GS 01 Fiscal and Accounting Operations

Documentation of fiscal operations encompassing most activities undertaken by state agencies to manage, account for, collect and expend funds. Includes general accounting records, banking, budget, allotment and expenditure records, contract accounting, and central payroll accounting.

Documentation of fiscal operations encompassing most activities undertaken by state agencies to manage, account for, collect and expend funds. Includes general accounting records, banking, budget, allotment and expenditure records, contract accounting, and central payroll accounting.

For AFRS and CAFR reports, see GS 02

For other payroll records, see GS 03

For audits and examinations, see GS 04

For purchasing forms, see GS 06

For grants management, see GS 23

The following records retention schedules reflect the retention and disposition of the primary record regardless of media (see [AppendixD](#) for Imaging). Copies (regardless of media - see [AppendixD](#) for Imaging).) used for specific legal, fiscal, or administrative purposes (see [AppendixA](#) for definitions) may be either retained using the retention for the primary copy or scheduled separately if a different retention is required.

Copies of these documents preserved only for convenience of reference or informational purposes may be discarded when no longer needed.

GS 01001 - GS 01019; GS 01040 - GS 01045; GS 01050 - GS 01052; GS 01060 - GS 01064 Inclusive, Approved by the Washington State Records Committee.

RECORDS COMMITTEE SIGNATURES ON FILE AT THE WASHINGTON STATE ARCHIVES RECORDS MANAGEMENT SECTION

For the Attorney General

For the State Auditor

For the State Archivist

For the Director of OFM

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 01001	<p>WARRANT REGISTER SUMMARY</p> <p>A record of summarized fiscal transactions concerning disbursement vouchers drawn against the State Treasurer and the account classification of each transaction. (Revision #2, Approved June, 2001)</p> <p>Note: Does not cover State Treasurer's copies.</p>	6 Years	
GS 01002	<p>WARRANT REGISTER - DETAIL</p> <p>A record of disbursement vouchers drawn against the State Treasurer and the account classification of each transaction. (Revision #1, Approved November 1999) (Revision #2, Approved June, 2001)</p> <p>Note: Does not cover State Treasurer's copies.</p>	6 Years	
GS 01003	<p>CLAIMS WARRANT REGISTER</p> <p>A record of disbursements relating to claims or refunds which require case or claim data identification. (Revision #1, Approved June, 2001)</p>	10 Years	

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 01004	<p>VENDOR PAYMENT FILES</p> <p>Documentation of agency disbursements. Includes all documentation related to purchases by agencies, including warrant registers, voucher distribution registers, vendor remittance advisories, document transmittals and certification reports, and other documentation which provides a record of payments to vendors and other agencies for goods and services. Includes, but not limited to:</p> <ul style="list-style-type: none"> • Purchase Order Files • Field Order Files • Purchase Requisition Files • Invoice Voucher Files • Printing Requisition Files • Copy Center Request Files • Travel Expense Payment Files • Inter-Agency Billing Files <p>(Revision #2, Approved June, 2001)</p>	6 Years	Possibly Essential (some items in this series may be essential)
GS 01005	<p>ENCUMBRANCE AND LIQUIDATION RECORDS</p> <p>Provides for the encumbrance of funds with which to satisfy agency indebtedness. Includes encumbrance requests, registers, and adjustments. (Series Approved, 1997)</p>	6 Years	
GS 01006	<p>JOURNAL VOUCHERS</p> <p>Provides a means of entering an accounting transaction into an agency's unique accounting system. May include affidavits of lost or destroyed warrants. See GS 02007 for this record in electronic (AFRS) format. (Revision #1, Approved November 1999)</p>	6 Years	Possibly Essential

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 01007	DISTRIBUTION OF ACCOUNTS PAYABLE Provides a list of all invoices for non-appropriated items disbursed during each month by general account code, to provide posting data to the general ledger (GS 01009). (Series Approved, 1997)	6 Years	
GS 01008	CASH RECEIPTS JOURNAL SUMMARY A summary of cash receipts segregated by fund and source, which serves as a transmittal document for each deposit forwarded to the State Treasurer. (Series Approved, 1997)	6 Years	Possibly Essential
GS 01009	GENERAL LEDGER A record of prescribed general ledger accounts, documenting agency receipts, expenditures and balances, by source and fund. (Series Approved, 1997)	6 Years	Possibly Essential
GS 01010	REVENUE LEDGER A record of agency cash receipts used to support general ledger revenue accounts. May include daily cash listing. (Revision #1, Approved November 1999)	6 Years	
GS 01011	REVENUE REPORTS A monthly summary of billings made and payments received on interagency agreements and contracts. (Series Approved, 1997)	6 Years	Possibly Essential

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 01012	<p>PUBLIC WORKS REQUISITION</p> <p>A record of all requisitions for public works projects processed by the Engineering and Architecture Division of the Department of General Administration. (Series Approved, 1997)</p> <p>Note: Does not cover General Administration Department copy.</p>	Work Completed Plus 6 Years	
GS 01013	<p>BANKING RECORDS</p> <p>A record of agency transactions with banks. Includes deposit slips, bank statements, check registers, reconciliation statements and other related documents. (Series Approved, 1997)</p>	6 Years	
GS 01014	<p>AGENCY FISCAL POLICIES AND PROCEDURES</p> <p>Memoranda, rules, orders, directives, procedural instructions, regulations, bulletins, notices, instructions issued by OFM and the State Auditor, and any other documentation which is directive in nature or explains policies and procedures relating to the fiscal administration of an agency. (Series Approved, 1997)</p>	Superseded Plus 6 Years	Essential
GS 01015	<p>FISCAL OFFICE ADMINISTRATIVE FILES</p> <p>General files pertaining to the administration of an agency fiscal office. Includes copies of documents sent to other offices for action, documents recording office organization and staffing, requests for supplies, office services or equipment, internal activity and workload reporting documents, copies of documents distributed for informational purposes, and other documentation related to the administration of the office. Also may include chief fiscal officer's or comptroller's correspondence and administrative subject files. (Series Approved, 1997)</p>	2 Years	

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 01016	<p>ACCOUNTS RECEIVABLE</p> <p>Documentation of charges and billing process for goods and/or services rendered. May include "determination of fees" documentation, work orders or service requests – could be in the form of field orders or invoice vouchers, logs of goods/services provided, receipts, billing statements, etc. (Series Approved, November 1999)</p>	6 Years	Essential
GS 01017	<p>REPORTS FOR INDIVIDUAL EMPLOYEE TRAVEL CREDIT CARDS</p> <p>Cumulative report of all activity by individually issued credit cards intended for travel and related expenses, i.e., current contract holder's Services Profile Reports. (The individual employee card member is responsible for payment in full of all charges on this account. The state has no responsibility for payment.) (Revision #1, Approved June, 2001)</p>	Administrative Purpose Served	
GS 01018	<p>AGENCY CREDIT CARD USAGE OR ON-LINE ORDERING BACK-UP DOCUMENTATION</p> <p>Any documentation related to on-line ordering or the use of an agency-issued credit card by any agency employee when this documentation is kept in the office of use and not submitted to the agency's accounting office. May include: activity log, original receipts, etc. (New series, June, 2001)</p>	6 Years	Essential
GS 01019	<p>IRS REPORTING FORMS</p> <p>Any IRS required documents used by state agencies to report vendor payments to the IRS. May include forms: 1099, 1098, 5498, W2G or similar-use forms. (New series, June 2001)</p>	4 Years	

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 01040	BUDGET PREPARATION WORKING FILES Documentation of agency budget planning processes for biennial budget proposals. May include correspondence, reports, memos, drafts, statistics, and related documents. (Series Approved, 1997)	End of Biennium Plus 2 Years	
GS 01041	CAPITAL AND OPERATING BUDGETS Capital and operating budget detail for an agency, as passed by the Legislature and signed by the Governor. (Series Approved, 1997)	End of Biennium Plus 4 Years	Archival
GS 01042	ALLOTMENTS Allotment detail maintained in accordance with applicable OFM allotment instructions. (Series Approved, 1997)	End of Biennium Plus 4 Years	
GS 01043	ALLOTMENTS AND EXPENDITURE LEDGER A record of allotments and corresponding expenditures segregated by fund. (Series Approved, 1997)	End of Biennium Plus 6 Years	Possibly Essential
GS 01044	PROGRAM EXPENDITURE LEDGER A record of expenditures by each program within an agency. (Series Approved, 1997)	End of Biennium Plus 6 Years	
GS 01045	BUDGET ACTIVITY AND STATUS REPORTS Reports of the status of revenue allotments and expenditures by source and fund for each month. (Series Approved, 1997)	End of Biennium Plus 6 Years	

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 01050	<p>CONTRACTS FOR PURCHASES, PURCHASED SERVICES, LEASES OR RENTALS</p> <p>Agreements for the purchase of goods and services, or the lease or rental of vehicles or other equipment. Includes inter-agency and intra-agency agreements, back-up documentation for the contract award process and contracts not entered into. Also includes pre-signed contracts. (Revision #1, Approved June, 2001)</p>	Termination of Contract Plus 6 Years	Essential
GS 01051	<p>PERSONAL SERVICE CONTRACTS</p> <p>Contracts with individuals or firms for specialized services. (Series Approved, 1997)</p>	Termination of Contract Plus 6 Years	Essential
GS 01052	<p>ESCROW AGREEMENTS</p> <p>Agreements between agencies and contractors to place the retained percentage of progress billings in a trust account pending the satisfactory completion of a contract. (Series Approved, 1997)</p>	Termination of Contract Plus 6 Years	Essential
GS 01060	<p>PAYROLL REGISTER</p> <p>Central, certified record of agency payroll, payroll deductions, and the net pay of each agency employee. (This document can be used to assist in providing retirement verification if adequate time worked data is on the payroll registers.) (Revision #1, Approved June, 2001)</p> <p>Recommendation: Retain this information on a microform (fiche or roll film).</p>	50 Years	Essential
GS 01061	<p>PAYROLL DEDUCTION REGISTERS</p> <p>Central record of the accounting of funds withheld or deducted from each employee's payroll to satisfy payroll deductions. Includes miscellaneous payroll deductions. (Series Approved, 1997)</p>	6 Years	

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 01062	<p>DISTRIBUTION OF PAYROLL AND RELATED COSTS</p> <p>A detailed distribution account of the payroll costs for each agency employee. (Series Approved, 1997)</p>	6 Years	
GS 01063	<p>YEAR-TO-DATE PAYROLL REGISTERERROR! BOOKMARK NOT DEFINED.</p> <p>A cumulative summary of payroll expenses for each agency employee. (Series Approved, 1997)</p>	6 Years	
GS 01064	<p>QUARTERLY REPORT OF WAGES</p> <p>A report of the total personnel costs of each agency, detailing the status of each employee, pay range, and total wages paid to date. (Series Approved, 1997)</p>	6 Years	

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

GS 02 Agency Financial Reporting System (AFRS) & Combined Annual Financial Reports (CAFR)

AFRS is a central state accounting system maintained by the Office of Financial Management (OFM). AFRS reports are issued daily, weekly, monthly, quarterly, and on-demand. They are available electronically, in hard-copy or microfiche, as requested by agencies. CAFR reports are available on demand. AFRS is backed up in an electronic format by OFM and retained ten years.

Any agency not using AFRS reports should apply the functions and retention periods of the following records retention schedules to the reports used in lieu of AFRS.

The following records retention schedules reflect the retention and disposition of the primary record regardless of media - see [AppendixD](#) for Imaging Copies (regardless of media - see [AppendixD](#) for Imaging).) used for specific legal, fiscal, or administrative purposes (see [AppendixA](#) for definitions) may be either retained using the retention for the primary copy or scheduled separately if a different retention is required.

Copies of these documents preserved only for convenience of reference or informational purposes may be discarded when no longer needed.

GS 02001 - GS 02011 and GS 02020 - GS 02021 Inclusive, Approved by the Washington State Records Committee.

RECORDS COMMITTEE SIGNATURES ON FILE AT THE WASHINGTON STATE ARCHIVES RECORDS MANAGEMENT SECTION

For the Attorney General

For the State Auditor

For the State Archivist

For the Director of OFM

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 02001	DTR – TAS REPORTS Treasury Accounting System Accounting Reports. (Series Approved, 1997)	3 Years	
GS 02002	DTR9 – IN-PROCESS REPORTS Detailed information for in-process OFM general ledger accounts. May be filed in Vendor Payment Files (GS 01004) (Revision #1, Approved November, 1999)	3 Years or Until After Audit	
GS 02003	DAILY REPORTS Detailed financial and statistical reports issued on a daily basis and specialized daily reports requested by state agencies. Includes DWP and DZOTHER reports. (Series Approved, 1997)	90 DAYS	
GS 02004	WEEKLY REPORTS Reports of agency financial and statistical activity reported on a weekly basis, and specialized weekly reports requested by state agencies. Includes WWP and WZOTHER reports. (Revision #1, Discontinued November, 1999)	90 DAYS	

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 02005	<p>MONTHLY REPORTS</p> <p>Detail and summary financial and statistical information reported on a monthly basis. Includes:</p> <ul style="list-style-type: none"> • MAP – Monthly Approved Allotment and Revenue Reports; • MFS – Monthly Financial Statement Reports; • MCP – Monthly Combined Approved & Adjusted Allotment Reports • MTR – Monthly Treasurer Accounting System Reports • MWP – Monthly Working Paper Reports • SWM – Monthly General Ledger Trial Balances <p>(Revision #1, Approved November, 1999)</p> <p>NOTE: Office of Financial Management maintains designated AFRS Monthly Reports for 6 years.</p>	Administrative Purpose Served	
GS 02006	<p>QWP – QUARTERLY REPORTS</p> <p>Office of Minority and Women's Business Enterprises quarterly disbursement and goal performance reports. (Revision #1, Discontinued November 1999)</p>	4 YEARS	
GS 02007	<p>JOURNAL VOUCHERS – POSTED TO AFRS</p> <p>Documentation of financial transactions posted directly to AFRS. (Revision #1, Approved November, 1999)</p>	6 Years	Possibly Essential
GS 02008	<p>MRS – MANAGEMENT REPORTING SYSTEM</p> <p>Supplemental, ad hoc, analytical information on the status of allotments, disbursements, accruals, encumbrances, and variances at varying levels for various time frames. (Revision #1, Approved November, 1999)</p>	90 Days	

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 02009	<p>DRS – DISBURSEMENT REPORTING SYSTEM REPORTS</p> <p>Automatic and agency-requested reports (for subscribing agencies) of vendor history information, including disbursements and the Office of Women and Minority Enterprise's information. (Revision #2, Approved June, 2001)</p>	90 Days	
GS 02010	<p>IRS – IRS 100 IRS 110 REPORTS</p> <p>Reports relating to the Internal Revenue Service 1099 reporting process.</p> <p>(Revision #1, Discontinued November, 1999 to use <u>GS 01004</u>)</p>	90 Days	
GS 02011	<p>TAPRPT – THE ALLOTMENT PREPARATION SYSTEM</p> <p>Summaries of agency allotments, FTEs and revenue status.</p> <p>(Revision #1, Discontinued November, 1999 to use <u>GS 01042</u>)</p>	90 Days	
GS 02020	<p>CAFR REPORTS</p> <p>Working documents available on demand for analysis of certain financial balance interrelationships and other financial information. Includes:</p> <ul style="list-style-type: none"> • CAF – Financial Balances and Other Information • FED – Federal Revenues and Expenditures • REC – Receivable/Payable Relationship • PAY – Payable/Receivable Relationship <p>(Revision #1, Approved November, 1999)</p>	Destroy When No Longer Needed	
GS 02021	<p>CAFR ANNUAL REPORTS</p> <p>Reports summarizing fiscal year accounting activity. Includes appropriation and expenditure review reports (APREXP) and biennium fund review report (ADMTB – Fiscal Year End). (Revision #1, Discontinued November, 1999)</p>	6 YEARS	

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

GS 03 Personnel and Payroll Records

Records of each state agency's employee, showing the name, title, position held, organizational assignment, salary, changes of employment status, attendance, leave, performance evaluations, and such other information as may be necessary for the administration of regulations. Personnel and payroll records shall be open to the inspection of the State Personnel Board, State Auditor, and the Director of Personnel or designees. The original personnel and payroll file shall accompany the employee throughout his/her service career including inter-system movement.

The following records retention schedules reflect the retention and disposition of the primary record regardless of media (see [AppendixD](#) for Imaging).. Copies (regardless of media - see [AppendixD](#) for Imaging).) used for specific legal, fiscal, or administrative purposes (see [AppendixA](#) for definitions) may be either retained using the retention for the primary copy or scheduled separately if a different retention is required. Copies of these documents preserved only for convenience of reference or informational purposes may be discarded when no longer needed.

NOTE: See GS 01060 – 01064 for accounting retentions of payroll records.

GS 03001 - GS 03024 and GS 03030 - GS 03036 Inclusive, Approved by the Washington State Records Committee.

RECORDS COMMITTEE SIGNATURES ON FILE AT THE WASHINGTON STATE ARCHIVES RECORDS MANAGEMENT SECTION

For the Attorney General

For the State Auditor

For the State Archivist

For the Director of OFM

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 03001	<p>PERSONNEL RECORD FOLDERS</p> <p>Documentation related to an employee's state employment history, including: application, resume, position held, assignment(s), attendance, leave, telecommuting agreements, employee profiles, management development and performance plan, memoranda and correspondence, and other documents relating to the personnel history of a state employee. (Revision #1, Approved November, 1999)</p>	Termination of Employment Plus 7 Years	Essential
GS 03002	<p>EMPLOYEE PERFORMANCE EVALUATIONS</p> <p>Evaluations of state employee work performance, prepared by his or her supervisor on a regular schedule. (Series Approved, 1997)</p>	Completion of Evaluation Plus 3 Years	
GS 03003	<p>GRIEVANCE FILES</p> <p>A record of complaints and grievances by state employees regarding work place issues, but not including discrimination or sexual harassment. (Series Approved, 1997)</p>	Resolution of Case Plus 6 Years	
GS 03004	<p>APPEALS TO THE PERSONNEL APPEALS BOARD</p> <p>Records pertaining to employee appeals or law suits against the agency by state employees. Includes appeals, responses, legal actions, correspondence and related documentation. DOES NOT APPLY TO PERSONNEL APPEALS BOARD'S RECORDS. (Series Approved, 1997)</p>	Final Determination Plus 2 Years	
GS 03005	<p>PERSONNEL COMPLAINTS - UPHELD</p> <p>Personnel complaints filed against or by state employees. Includes documentation, filing forms, backup information, recommendations, resolutions, and related memoranda and correspondence. (Revision #2, Approved June, 2001)</p>	Final Determination Plus 6 Years	

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 03006	<p>PERSONNEL COMPLAINTS, EXONERATED</p> <p>Personnel complaints filed against or by state employees in which the complaint proved to be unsubstantiated.</p> <p>NOTE: Information regarding employee misconduct that is determined to be false and in all situations where the employee has been fully exonerated of wrongdoing shall be promptly destroyed, unless the employee requests that the information be retained, or it's related to pending legal action or legal action is expected to result (taken from 41.06.450RCW). (Revision #1, Approved November, 1999)</p>	Destroy Upon Exoneration	
GS 03007	<p>EMPLOYEE TRAINING/CLOCK HOUR CREDITS</p> <p>Various forms, sign-up sheets and reports documenting courses attended by state employees. Also see GS 22 (Training). (Series Approved, 1997)</p>	Termination of Employment Plus 7 Years	
GS 03008	<p>JOB SPECIFICATIONS</p> <p>Descriptions of job classifications which apply to positions held by the employees of a state agency. DOES NOT APPLY TO DEPARTMENT OF PERSONNEL MASTER FILES. (Series Approved, 1997)</p>	Destroy After Superseded	
GS 03009	<p>PERSONNEL REPORTS</p> <p>Various reports generated by the Department of Personnel and made available to state agencies. The reports document employee information such as position changes, activity summary, affirmative action, position costs, seniority dates, under-fill, over-fill, termination, employee positions and status, new hire, non-permanent tracking, multi-fill, and similar topics. (Series Approved, 1997)</p>	Superseded Plus 6 Years	

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 03010	POSITION FILES History of each position within the agency. Includes vacancies, reallocations, training plan, selective certification documentation, classification questionnaire, etc. (Revision #1, Approved November, 1999)	Destroy After Position Abolished or Revised	
GS 03011	REASONABLE ACCOMMODATION FILES Documentation of the provision of reasonable accommodations provided by the agency in order to meet the requirements of reasonable accommodations for employees with special needs. (Revision #1, Approved November, 1999)	Termination of Employment Plus 7 Years	
GS 03012	EMPLOYEE RECRUITMENT Documentation of the entire process used in recruiting and hiring new employees. (Revision #1, Approved November, 1999)	Position Filled Plus 3 Years	
GS 03013	TUITION REIMBURSEMENT Provides a record of courses taken by employees for which tuition reimbursement was provided by the agency. Also see GS 22 (Training). (Series Approved, 1997)	Completion of Course Plus 6 Years	
GS 03014	GRIEVANCES A record of personnel grievance actions which are less formal than complaints. (Revision #1, Discontinued, November, 1999) <u>RECORD SERIES DISCONTINUED, USE GS 03003</u>	Final Determination Plus 2 Years	

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 03015	INJURY CLAIMS Claims by employees injured on the job. Includes L & I claim forms, accident report, reports from doctors, agency responsibility forms and related documentation. DOES NOT APPLY TO LABOR AND INDUSTRIES DEPARTMENT'S COPY OF INJURY CLAIMS FILES. (Revision #1 Approved June, 2001)	Claim Settled Plus 6 Years	
GS 03016	INJURY CLAIMS, EYE INJURIES Claims by employees with eye injuries on the job. Includes L & I claim forms, accident report, reports from doctors, agency responsibility forms and related documentation. DOES NOT APPLY TO LABOR AND INDUSTRIES DEPARTMENT'S COPY OF INJURY CLAIMS FILES. (Revision #1 Approved June, 2001)	Claim Settled Plus 10 Years	
GS 03017	VOLUNTEER FILES Applications, agreements, L & I forms, and other information pertaining to volunteers. (Series Approved, 1997)	Termination of Service Plus 6 Years	Essential
GS 03018	AGENCY REDUCTION IN FORCE PLAN Agency policies and procedures pertaining to Reduction in Force actions. (Series Approved, 1997)	Superseded Plus 6 Years	
GS 03019	AGENCY REDUCTION IN FORCE FILES Documentation of reduction in force actions by state agencies. Includes documentation of the process and its implementation, agency decisions, reports, correspondence, organizational charts, meeting minutes, administrative notes, and other documentation related to a reduction in force action. (Series Approved, 1997)	Conclusion of Any Action Pending Plus 6 Years	

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 03020	<p>AGENCY RULES AND REGULATIONS FOR EMPLOYEES</p> <p>Rules and regulations adopted by state agencies to govern the behavior of their employees. (Series Approved, 1997)</p>	Superseded Plus 6 Years	
GS 03021	<p>EMPLOYEE RECOGNITION/APPRECIATION CEREMONIES OR AWARDS</p> <p>A record of agency- or division-wide employee recognition efforts and events to include meeting minutes, plans, awards, location, details of events and copies of expenditure records. (Series Approved, November 1999)</p> <p>NOTE: for Brainstorm or TIP records, see GS 09012.</p>	2 Years	
GS 03022	<p>APPLICATIONS/RESUMES RECEIVED – NOT INTERVIEWED</p> <p>Any request for job consideration, solicited or non-solicited, not interviewed. (Series Approved November, 1999)</p>	6 Months	
GS 03023	<p>ON-THE-JOB-TRAINEE FILES</p> <p>Provides a record of trainee's dates of service, training plan, evaluation reports, correspondence, ADA requirements, etc. (Series Approved November, 1999)</p>	Training Terminated Plus 6 Years	
GS 03024	<p>EMPLOYEE INFORMATION FILE - SUPERVISOR'S COPY</p> <p>Documentation gathered by an employee's supervisor in preparation for each employee's annual performance evaluation. Includes, but is not limited to: notes regarding training and employee development; performance notes; job assignments, etc. (If this file contains any secondary copies of documentation found in the official Personnel Record Folder (GS 03001), they should be disposed of according to the GS 03 coversheet instruction for informational copies ("...may be discarded when no longer needed.") (New Series, Approved June, 2001)</p>	Destroy after Completion of Annual Performance Evaluation	
NO LISTING FOR GS03025-029			

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 03030	<p>ATTENDANCE RECORDS</p> <p>A record of the attendance of state employees including annual leave, sick leave, compensatory time, personal holidays, and other records pertaining to attendance. (Revision #1, Approved June, 2001)</p>	Administrative Purpose Served Plus 5 Years	
GS 03031	<p>PAYROLL FILES</p> <p>Documentation of employee pay status, miscellaneous payroll deductions, internal revenue information, insurance plans, and other documentation concerning employee payroll. Note: In the event of an employee transfer, current miscellaneous deductions and forms for insurance, etc., are forwarded to gaining agency. Remainder of the file is kept by the originating office. (Revision #1, November, 1999)</p>	Termination of Employment Plus 7 Years	Essential
GS 03032	<p>PAYROLL FILES - RETIREMENT VERIFICATION</p> <p>Salary and employment dates retained for the purpose of retirement verification. (Revision #1, November, 1999)</p> <p>*NOTE: The sixty-year retention has a five-year sunset stipulation. Five years after approval of this schedule, the retention of this series will decrease to 55 years unless the State Records Committee takes other action related to this series.</p>	*Termination of Employment Plus 60 Years	Essential
GS 03033	<p>PAYROLL REPORTS</p> <p>Various payroll reports used by the personnel/payroll offices to verify actions. Includes payroll certification signed by agency head or designee and all documents that reflect personnel actions, internal revenue reports, Labor and Industries Dept. quarterly reports, savings bonds sign-ups and deposits, garnishments, warrant cancellations, electronic fund transfers, year-to-date cost reports, and various miscellaneous deductions. (Revision #1, Approved November, 1999)</p>	Report Received and Verified Plus 6 Years	

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 03034	<p>SHARED LEAVE</p> <p>Documentation of the receipt and return of shared leave. Includes donation information. Also includes career shared leave. (Revision #1, Approved November 1999)</p>	Termination of Employment Plus 7 Years	
GS 03035	<p>TIME KEEPING/TIME AND EFFORT</p> <p>Documentation of federal requirements for quarterly/semi-monthly reports of employee time when federal dollars are expended. (Series Approved, 1997)</p>	Administrative Purpose Served Plus 10 Years	Essential
GS 03036	<p>I-9 FORMS OR EMPLOYMENT ELIGIBILITY VERIFICATION DOCUMENTS</p> <p>Documents used to verify employment eligibility within the United States. Series may include: Federal I-9 forms, passport copies, copies of valid driver's license, copies of certificate of naturalization, etc. (8 CFR 274a.2) (New series, approved June, 2001)</p>	Date of Hire Plus 3 Years or Termination of Employment Plus 1 Year Whichever Is Later	

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

GS 04 Audits and Examinations

Records of internal audits and State Auditor Examinations of state agency programs and fiscal activities.

The following records retention schedules reflect the retention and disposition of the primary record regardless of media (see [AppendixD](#) for Imaging).. Copies (regardless of media - see [AppendixD](#) for Imaging).) used for specific legal, fiscal, or administrative purposes (see [AppendixA](#) for definitions) may be either retained using the retention for the primary copy or scheduled separately if a different retention is required.

Copies of these documents preserved only for convenience of reference or informational purposes may be discarded when no longer needed.

GS 04001 - GS 04004, Inclusive, Approved by the Washington State Records Committee.

RECORDS COMMITTEE SIGNATURES ON FILE AT THE WASHINGTON STATE ARCHIVES RECORDS MANAGEMENT SECTION

For the Attorney General

For the State Auditor

For the State Archivist

For the Director of OFM

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 04001	<p>INTERNAL AUDITS, WORKING PAPERS AND REPORTS</p> <p>Working files containing correspondence, memos, drafts, preliminary findings, notes, and other materials used in preparing an internal audit of an agency's programs or offices. May include copies of the final audit or examination report. (Series Approved, 1997)</p>	3 Years	
GS 04002	<p>INTERNAL AUDIT, FINAL AUDIT OR EXAMINATION REPORT</p> <p>Final reports of internal audits or examinations. (Series Approved, 1997)</p>	3 Years After Audit	
GS 04003	<p>STATE AUDITOR'S REPORTS OF EXAMINATIONS, AGENCY COPY</p> <p>Agency copies of the final reports of audits and examinations performed by the State Auditor's Office. (Series Approved, 1997)</p>	3 Years After Audit	
GS 04004	<p>WHISTLEBLOWER INVESTIGATIVE REPORTS</p> <p>Agency copies of State Auditor's Office investigations of allegations of fraud or violations of state laws or regulations. (Series Approved, 1997)</p>	Case Closed Plus 2 Years	

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

GS 05 Public Affairs and Public Disclosure

Records of contacts with the general public, the media, the legal community and others, regarding state agency policies, activities and actions. Includes information releases, public information, office files, requests for information and records under the terms of the Public Disclosure Act, and less formal requests concerning state agency records and information.

The following records retention schedules reflect the retention and disposition of the primary record regardless of media (see [AppendixD](#) for Imaging).. Copies (regardless of media - see [AppendixD](#) for Imaging).) used for specific legal, fiscal, or administrative purposes (see [AppendixA](#) for definitions) may be either retained using the retention for the primary copy or scheduled separately if a different retention is required.

GS 05001 - GS 05007 Inclusive, Approved by the Washington State Records Committee.

RECORDS COMMITTEE SIGNATURES ON FILE AT THE WASHINGTON STATE ARCHIVES RECORDS MANAGEMENT SECTION

For the Attorney General

For the State Auditor

For the State Archivist

For the Director of OFM

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 05001	<p>PUBLIC DISCLOSURE ACT, REQUESTS AND APPEALS</p> <p>Formal requests for access to state agency records filed by the public, the media, or other agencies, under the terms of the Public Disclosure Act (RCW 42.17). Includes initial requests, agency responses, and documentation related to appeals in cases in which access is denied. (Revision #1, Approved June, 2001)</p>	Disclosed, Final Response, or Appeal Denied Plus 1 Year	
GS 05002	<p>GENERAL REQUESTS FOR INFORMATION</p> <p>Letters, memos, telephone logs, copies of responses, and related records documenting requests for information from the public, the media, and other agencies. Does not include formal requests filed under the terms of the Public Disclosure Act. (Series Approved, 1997)</p>	Response to Request Plus 1 Year	
GS 05003	<p>PRESS RELEASES</p> <p>Press or news releases issued by an agency to the media to inform the public about events, activities and accomplishments. (Series Approved, 1997)</p>	Date of Issue Plus 2 Years	Archival
GS 05004	<p>NEWSLETTERS AND BULLETINS, INTERNAL AND EXTERNAL</p> <p>Internal and external newsletters and bulletins designed to provide information about agency activities. (Series Approved, 1997)</p>	2 Years	Archival
GS 05005	<p>PUBLIC INFORMATION OFFICE, SUBJECT FILES</p> <p>Records documenting the activities of an agency, generally organized by subject. Provides a record of events, issues and subjects related to an agency's programs, missions and activities. Used to provide background information in responding to public information requests. (Series Approved, 1997)</p>	2 Years	Archival

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 05006	<p>PUBLIC INFORMATION OFFICE, ADMINISTRATIVE FILES</p> <p>Correspondence, memos, complaints, reports, files on events, and other records concerning the general administration and operation of the office. (Series Approved, 1997)</p>	2 Years	
GS 05007	<p>TRAINING FILES - GENERAL PUBLIC</p> <p>Information used to conduct training or orientation sessions, or to provide information to an agency's public customers. May include: training announcements, registration information, reference material, outlines, handouts, notes, evaluations, videos, presentation material, etc. (new series, June 2001)</p> <p>NOTE: This series does not cover any training that results in the issuance of a required certificate or license.</p>	Destroy When Superseded or Obsolete	

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

GS 06 Purchasing Records

General Purchasing records used by state agencies for procuring services, supplies and equipment.

Note: See GS 01 for other fiscal records.

The following records retention schedules reflect the retention and disposition of the primary record regardless of media (see [AppendixD](#) for Imaging).. Copies (regardless of media - see [AppendixD](#) for Imaging).) used for specific legal, fiscal, or administrative purposes (see [AppendixA](#) for definitions) may be either retained using the retention for the primary copy or scheduled separately if a different retention is required.

Copies of these documents preserved only for convenience of reference or informational purposes may be discarded when no longer needed.

GS 06001 - GS 06007, Inclusive, Approved by the Washington State Records Committee.

RECORDS COMMITTEE SIGNATURES ON FILE AT THE WASHINGTON STATE ARCHIVES RECORDS MANAGEMENT SECTION

For the Attorney General

For the State Auditor

For the State Archivist

For the Director of OFM

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 06001	<p>SUPPLY AND EQUIPMENT REQUESTS</p> <p>Internal agency documents used to request the purchase of supplies and equipment. (Series Approved, 1997)</p>	30 Days After Date of Receipt	
GS 06002	<p>PURCHASE AUTHORITY</p> <p>Authority for an agency to accomplish its own purchases. May be State Form GEN-PUR-007 or similar agency-specific form. (Series Approved, 1997)</p>	6 Years	Essential
GS 06003	<p>PROPERTY DISPOSAL REQUEST</p> <p>Authorization for the sale or exchange of surplus state property in an agency's inventory. May be State Form SF 267 or similar agency-specific form. (Series Approved, 1997)</p>	Disposal Date Plus 6 Years	
GS 06004	<p>INVITATION TO BID</p> <p>Solicitation of bids from vendors. May be State Form GEN-PUR-008 or similar agency-specific form. (Revision #1, Approved June, 2001)</p>	Closure of Bid Plus 6 Years	
GS 06005	<p>PURCHASING CONTRACT DOCUMENTS</p> <p>Contract package issued by the Division of Purchasing/Procurement for use by agencies as a term contract for specified goods and services. State Form GAP 110. (Series Approved, 1997)</p>	End of Contract Plus 6 Years	
GS 06006	<p>VENDOR BONDS</p> <p>Bid Bonds (SF 351), Annual Bid Bonds (SF 350), Payment and Performance Bonds (SF 352), and agency-specific bonds serving the same purpose, binding vendors of goods and services to the state to certain obligations and levels of performance as specified in the language of the bond. (Series Approved, 1997)</p>	Expiration of Bond Plus 6 Years	Essential

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 06007	<p>UNSUCCESSFUL BIDS FILE</p> <p>Documentation of the bids submitted to provide goods or services which were not chosen or failed to meet requirements. May include in addition to the unsuccessful bids: list of ranking of unsuccessful bidders; financial information about the bidders; resumes; proposals; pricing sheets, etc. (New series, June 2001)</p>	Bid Award Date Plus 3 Years	

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

GS 07 Travel Records

Records pertaining to state employee travel requests and reimbursement for travel expenses. Note: See GS 01 for other fiscal records.

The following records retention schedules reflect the retention and disposition of the primary record regardless of media (see [AppendixD](#) for Imaging).. Copies (regardless of media - see [AppendixD](#) for Imaging).) used for specific legal, fiscal, or administrative purposes (see [AppendixA](#) for definitions) may be either retained using the retention for the primary copy or scheduled separately if a different retention is required.

Copies of these documents preserved only for convenience of reference or informational purposes may be discarded when no longer needed.

GS 07001 - GS 07003, Inclusive, Approved by the Washington State Records Committee.

RECORDS COMMITTEE SIGNATURES ON FILE AT THE WASHINGTON STATE ARCHIVES RECORDS MANAGEMENT SECTION

For the Attorney General

For the State Auditor

For the State Archivist

For the Director of OFM

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 07001	<p>TRAVEL EXPENSE VOUCHERS</p> <p>Vouchers submitted to claim reimbursement for employee travel expenses. May be State Form A20 or similar form serving the same purpose. (Series Approved, 1997)</p>	6 Years	
GS 07002	<p>TRAVEL AUTHORIZATIONS</p> <p>Requests by employees for authorization to travel or for advance payment for travel expenses. May be State Form A40 or similar form serving the same purpose. (Series Approved, 1997)</p>	6 Years	
GS 07003	<p>STATE VEHICLE USAGE REPORT</p> <p>Quarterly report of vehicle usage by state agencies. May be State Form A34 or similar form serving the same purpose. (Series Approved, 1997)</p>	2 Years	

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

GS 08 Telecommunications

Records documenting the administration of telecommunications services provided to state agencies.

The following records retention schedules reflect the retention and disposition of the primary record regardless of media (see [AppendixD](#) for Imaging).. Copies (regardless of media - see [AppendixD](#) for Imaging).) used for specific legal, fiscal, or administrative purposes (see [AppendixA](#) for definitions) may be either retained using the retention for the primary copy or scheduled separately if a different retention is required.

Copies of these documents preserved only for convenience of reference or informational purposes may be discarded when no longer needed.

GS 08001 - GS 08004, Inclusive, Approved by the Washington State Records Committee.

RECORDS COMMITTEE SIGNATURES ON FILE AT THE WASHINGTON STATE ARCHIVES RECORDS MANAGEMENT SECTION

For the Attorney General

For the State Auditor

For the State Archivist

For the Director of OFM

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 08001	<p>TELECOMMUNICATIONS SERVICE AND ORDER REQUESTS</p> <p>Requests by state agencies to the Department of Information Services or other service providers for telephone service, installation or repairs, and responses to the requests. Includes requests for voice mail, network and data circuit services, and other telecommunications services. (Series Approved, 1997)</p>	1 Year	
GS 08002	<p>SCAN SYSTEM AUTHORIZATION REQUESTS</p> <p>Requests by state agencies for assignment, changes in assignment, changes in authorization levels, or cancellation of SCAN remote access. Includes related correspondence and memoranda in addition to the SCAN requests. (Series Approved, 1997)</p>	Destroy After Request is Approved or Denied	
GS 08003	<p>CUSTOMER SERVICE AGREEMENT</p> <p>Documentation for Customer Service Agreement contracts with the Department of Information Services. Includes service estimates and contract amendments. (Series Approved, 1997)</p>	Final Payment on Contract Plus 6 Years	
GS 08004	<p>SCAN ACCOUNT DETAIL REPORT</p> <p>Listings of telephone activity by each SCAN account. Shows name of account holder, number called, distance, time spent, and SCAN charges. The "Official Copy" may be the agency's copy of the billing or the employee-signed copy. (Revision #1, Approved November, 1999)</p>	6 Years	

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

GS 09 General Office Operations

Records created in the process, planning and carrying out the routine administrative tasks of an agency or office. Includes routine correspondence, subject files, tracking and control records, and transitory records.

GS 09 applies to routine administrative records in paper, electronic and other formats. It does not apply to executive level records files (see GS 10) or agency program files (should be scheduled uniquely - see [AppendixA](#) for definition).

The following records retention schedules reflect the retention and disposition of the primary record regardless of media (see [AppendixD](#) for Imaging).. Copies (regardless of media - see [AppendixD](#) for Imaging).) used for specific legal, fiscal, or administrative purposes (see [AppendixA](#) for definitions) may be either retained using the retention for the primary copy or scheduled separately if a different retention is required.

Copies of these documents preserved only for convenience of reference or informational purposes may be discarded when no longer needed.

GS 09001 - GS 090017, Inclusive, Approved by the Washington State Records Committee.

RECORDS COMMITTEE SIGNATURES ON FILE AT THE WASHINGTON STATE ARCHIVES RECORDS MANAGEMENT SECTION

For the Attorney General

For the State Auditor

For the State Archivist

For the Director of OFM

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 09001	<p>ROUTINE GENERAL OFFICE POLICIES AND PROCEDURES</p> <p>Policies and procedures covering the routine, day-to-day operations of an office or unit. (Series Approved, 1997)</p> <p>Does not include agency mission-related policies and procedures. See GS 10002.</p>	Destroy When Superseded	Possibly Essential (policies or procedures for essential operations)
GS 09002	<p>OFFICE REFERENCE FILES</p> <p>Reference files containing copies of correspondence, memoranda, copies of reports, studies, articles, reference copies of minutes, distribution lists, and other general reference information on office administrative issues and concerns, used to support administrative analysis, planning and development. (Revision #1, Approved November 1999)</p> <p>Does not include executive level records (see GS 10) or program level files.</p>	Destroy When No Longer Needed	
GS 09003	<p>TRANSITORY ADMINISTRATIVE FILES</p> <p>Records temporarily required in day-to-day administrative operations. May include notes, telephone message slips, routine requests, and similar documents of a transitory nature. (Revision #1, Approved June, 2001)</p>	Destroy When No Longer Needed	
GS 09004	<p>READING OR DAY FILES</p> <p>Extra copies of correspondence, memos, reports, and other documents, assembled in chronological or subject order for quick reference purposes. (Series Approved, 1997)</p>	Destroy When No Longer Needed	

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 09005	<p>GENERAL CORRESPONDENCE</p> <p>Routine correspondence concerning day-to-day office administration and activities. Includes correspondence between other offices within an agency, routine correspondence with other agencies, and correspondence with the public on routine matters. (Series Approved, 1997)</p> <p>Does not include program correspondence, executive-level correspondence or correspondence concerning policies and procedures (see GS 10).</p>	30 Days	
GS 09006	<p>ADMINISTRATIVE PLANNING AND PROJECT WORKING FILES</p> <p>Project design plans, surveys/questionnaires , charts, diagrams, statistics, preliminary analysis reports, research materials, drafts, and other documentation related to management studies, non-fiscal audits, surveys, and planning studies. (Revision #1, Approved June, 2001)</p> <p>Does not include executive-level planning files (see GS 10) or program-level planning files.</p>	2 Years	
GS 09007	<p>REPORTS OF ROUTINE PLANNING AND STUDIES</p> <p>Reports of studies, surveys, management audits and similar operations which analyze routine administrative operations, procedures or processes. (Series Approved, 1997)</p> <p>Does not apply to agency-level studies and reports which involve major policy issues or agency-wide administrative matters (see GS 10).</p>	2 Years	
GS 09008	<p>ROUTINE OPERATIONAL PLANS</p> <p>Plans developed to guide routine administrative operations. Typically includes work plans and plans for specific administrative projects. (Series Approved, 1997)</p> <p>Does not apply to agency-level planning which involves major policy issues or agency-wide administrative matters.</p>	2 Years	Possibly Essential (plans for essential operations or services)

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 09009	<p>MINUTES AND FILES OF GENERAL OFFICE MEETINGS</p> <p>Minutes, agendas and meeting files from agency staff meetings, internal committees, task force committees, and other internal agency meetings which meet to coordinate activities, work out problems, serve as sounding boards, or vehicles for communication. (For explanation and guidelines regarding meeting notes and tapes, see Appendix A.) (Series Approved November, 1999)</p>	2 YEARS	
GS 09010	<p>MINUTES AND FILES OF POLICY SETTING MEETINGS</p> <p>Minutes, agendas and meeting files from meetings which formulate policy, rules or regulations for an agency or a number of state agencies. (For explanation and guidelines regarding meeting notes and tapes, see Appendix A.) (New Series, November, 1999) (Revision #1, Discontinued June, 2001 to use <u>GS 10 004</u></p>	6 Years	Archival
GS 09011	<p>CALENDARS, APPOINTMENT BOOKS, ROUTINE TELEPHONE LOGS</p> <p>A record of employee appointments, schedules, meetings, visitors, routine phone call logs, etc. (Series Approved November, 1999)</p>	90 Days	
GS 09012	<p>BRAINSTORM/TEAM INCENTIVE PROGRAM (TIP) DOCUMENTATION</p> <p>Agency copies of all documentation regarding Brainstorms or Team Incentive Program proposals. May include: application copies, correspondence, award ceremony documentation, evaluations, etc. This series does not include fiscal documentation of prize money. (Series Approved November, 1999)</p> <p>NOTE: Secretary of State's office retains the most important copy. For agency administered programs, see GS 09013.</p>	2 Years	

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 09013	<p>EMPLOYEE SUGGESTION PROGRAM</p> <p>Copies of all documentation regarding an agency's Employee Suggestion Program. May include: application copies, correspondence, award ceremony documentation, evaluations, etc. This series includes fiscal documentation of any prize money awarded. (Series Approved November, 1999)</p>	6 Years	
GS 09014	<p>LABOR UNION RELATIONS FILES</p> <p>All documentation related to labor union administrative business. May include correspondence, meeting files and minutes, etc. (Series Approved November, 1999)</p> <p>NOTE: for files regarding grievances see GS 03003.</p>	2 Years	
GS 09015	<p>LABOR UNION CONTRACTS</p> <p>Records of contract negotiation proceedings, contracts, related correspondence, amendments, etc. (Series Approved November, 1999)</p>	Until Superseded or Terminated Plus 6 Years	Essential
GS 09016	<p>COMPLAINTS, POLICY OR PROCEDURAL</p> <p>Complaints filed by state employees or the public relating to a policy and/or its implementation, procedures, or business practices that are being followed. May include documentation, filing forms, backup information, recommendations, resolutions, and related memoranda and correspondence. (Series Approved November, 1999)</p>	Resolution Plus 3 Years	

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 09017	<p>MATERIAL SAFETY DATA SHEETS (MSDS) OR ALLOWED SUBSTITUTE RECORD</p> <p>Data sheets or allowed substitute records identifying hazardous chemical(s) by the chemical and common names(s) and listing all ingredients which have been determined to be health hazards. Series may include: records of hazardous chemical use and analyses using exposure or medical records. (WAC 296-62-05207) (New Series, Approved June, 2001)</p>	<p>Until Superseded Plus 30 Years, or Chemicals Covered by Record Are No Longer Used Plus 30 Year</p>	<p>Possibly Essential</p>

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

GS 10 Executive Level Administrative Records

Administrative records from the executive level of an agency. Includes records which document the policies, procedures and administration of an agency. Records created at this level of a state agency are all considered to be “archival” and must be transferred to the State Archives after the official retention has been satisfied.

GS 10 does not include routine office records (see GS 09) or program level records (see [Appendix A](#) for definition).

The following records retention schedules reflect the retention and disposition of the primary record regardless of media (see [Appendix D](#) for Imaging).. Copies (regardless of media - see [Appendix D](#) for Imaging).) used for specific legal, fiscal, or administrative purposes (see Appendix A for definitions) may be either retained using the retention for the primary copy or scheduled separately if a different retention is required.

Copies of these documents preserved only for convenience of reference or informational purposes may be discarded when no longer needed.

GS 10001 - GS 10012, Inclusive, Approved by the Washington State Records Committee.

RECORDS COMMITTEE SIGNATURES ON FILE AT THE WASHINGTON STATE ARCHIVES RECORDS MANAGEMENT SECTION

For the Attorney General

For the State Auditor

For the State Archivist

For the Director of OFM

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 10001	<p>MAJOR ADMINISTRATIVE STUDIES AND OPERATIONAL PLANS</p> <p>Major administrative studies initiated at the executive level and/or conducted in response to a legislative order, executive order, federal requirement, or court order. Generally addresses agency-wide operations or issues, affects the most important or most critical agency functions, or addresses areas of public visibility or concern. Includes strategic plans and comprehensive plans for the administration, reorganization or operation of an entire agency or major sub-division of an agency. (Revision #1, Approved June, 2001)</p> <p>Does not apply to program-specific plans.</p>	Until Superseded or No Longer Applicable Plus 4 Years	Archival Possibly Essential (plans for essential operations or services)
GS 10002	<p>ADMINISTRATIVE POLICIES AND PROCEDURES</p> <p>Administrative policies and procedures issued at the executive level of an agency to address agency-wide operations, critical agency functions, or issues of public visibility or concern. May include formal directives, formal policy statements, printed or published procedures manuals, bulletins, orders, rules, or notices. (Series Approved, 1997)</p> <p>Does not apply to policies and procedures that regulate activities outside the agency or ones that are established through statute or through Washington Administrative Code (WAC) procedures.</p>	6 Years After Superseded	Archival Possibly Essential (policies and procedures for essential operations, etc)
GS 10003	<p>ADMINISTRATIVE SUBJECT FILES AND GENERAL DOCUMENTATION</p> <p>Executive level documentation of the administration of agency activities. May include organizational charts, narrative reports, reports from agency divisions and sub-divisions, studies, news releases, newspaper clippings, correspondence, copies of minutes of meetings, management team meeting minutes, agendas, and other materials. (Revision #1, Approved November, 1999)</p> <p>Does not apply to program-level records (see Appendix A for definition).</p>	4 YEARS	Archival

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 10004	<p>MINUTES AND FILES OF POLICY-SETTING MEETINGS</p> <p>Minutes, agendas, and meeting files of the governing body of an agency or of meetings that formulate policy, rules or regulations for an agency or a number of agencies. May include multi-media recordings - for explanation and guidelines regarding meeting notes and tapes, see AppendixA . (Revision #2, Approved June, 2001)</p>	6 Years	Archival Essential
GS 10005	<p>PAPERS OF EXECUTIVE DIRECTION</p> <p>A record of formal statements at the executive level of an agency, in regard to agency policy, actions, and mission. May include formal issuances, directives, records of briefings, and presentations of policy in any form. (Series Approved, 1997)</p>	4 Years	Archival Essential
GS 10006	<p>SPEECHES AND WRITINGS</p> <p>A record of speeches, tapes and videos of speeches, and transcripts of speeches, written presentations and other writings by the agency head or other executive level official, concerning agency policy, concerns, actions or issues. (Series Approved, 1997)</p>	6 Years	Archival
GS 10007	<p>OFFICIAL CORRESPONDENCE</p> <p>Correspondence and memos at the executive level, concerning policy issues, concerns, actions or issues. (Series Approved, 1997)</p>	4 Years	Archival Possibly Essential
GS 10008	<p>EXECUTIVE CALENDARS</p> <p>A record of appointments, "to do" lists, and meeting schedules. Provides a day-by-day record of official activities.</p> <p>If maintained in electronic form the information should be printed out as often as necessary to provide a daily record. (Series Approved, 1997)</p>	4 Years	Archival

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 10009	<p>RULES AND REGULATIONS (WASHINGTON ADMINISTRATIVE CODE)</p> <p>Agency records of filings, hearings, justification statements, meeting tapes and other documents related to the development and enactment of official rules and regulations for inclusion in the Washington Administrative Code (WAC). (Revision #2, Approved June, 2001)</p> <p>NOTE: For WACs that are not superseded within 6 years of implementation, the agency must make a complete copy of the file for agency use and deliver the original documentation to the State Archives for historical preservation.</p>	Until Superseded Plus 6 Years	Archival
GS 10010	<p>ANNUAL AND BIENNIAL REPORTS</p> <p>Summaries of the important activities and accomplishments of an agency in narrative and statistical form. (Series Approved, 1997)</p>	4 Years	Archival
GS 10011	<p>QUALITY IMPROVEMENT DOCUMENTATION</p> <p>Documentation of an agency's development of a plan and process for quality improvement. May include meeting documentation, plans, reports, presentations, training materials, correspondence, stats, recommendations, etc. (Series Approved November, 1999)</p>	6 Years	Archival
GS 10012	<p>OFFICIAL APPOINTMENT RECORDS</p> <p>A record of the procedure by which members are asked to serve by appointment or recommendation on any committee, council, board or task force. May include: correspondence, official appointment letters, instructions, notices of termination or re-appointment, etc. (Series Approved November, 1999)</p>	Termination of Appointment Plus 6 Years	

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

GS 11 Records Management Records

Records generated in the operation of an agency records management program, documenting the creation, management, flow and disposition of state government records in accordance with state records management laws, policies, procedures and practices.

The following records retention schedules reflect the retention and disposition of the primary record regardless of media (see [AppendixD](#) for Imaging).. Copies (regardless of media - see [AppendixD](#) for Imaging).) used for specific legal, fiscal, or administrative purposes (see [AppendixA](#) for definitions) may be either retained using the retention for the primary copy or scheduled separately if a different retention is required.

Copies of these documents preserved only for convenience of reference or informational purposes may be discarded when no longer needed.

GS 11001 - GS 11010, Inclusive, Approved by the Washington State Records Committee.

RECORDS COMMITTEE SIGNATURES ON FILE AT THE WASHINGTON STATE ARCHIVES RECORDS MANAGEMENT SECTION

For the Attorney General

For the State Auditor

For the State Archivist

For the Director of OFM

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 11 001	<p>RECORD TRANSMITTAL FORMS</p> <p>Agency-generated list of records transferred from state agency offices to off-site storage at the State Records Center, the State Archives or elsewhere. Includes essential records, microfilm, inactive records, archival records, electronic records, and any other material defined as a “public record” under state law. (Revision #1, Approved November, 1999)</p>	Final Disposition of Records Plus 6 Years	Essential
GS 11 002	<p>MICROFILM SERVICES</p> <p>Documentation of relations between state agencies and microfilm service bureaus (including the State Imaging Services Bureau). Includes requests for service, interagency agreements, and contracts itemizing labor and material costs of microfilming records. (Revision #1, Approved November, 1999)</p>	Provision of Service or Termination of Contract Plus 6 Years	
GS 11 003	<p>RECORDS RETENTION SCHEDULES – AGENCY SPECIFIC</p> <p>Records retention schedules prepared by a state agency to provide for the legal disposition of record series specific to that agency. Provides detailed information on the records, including record series title, function, retention period, final disposition, and archival status. The Division of Archives and Records Management has responsibility for the most important copy. (Series Approved, 1997)</p>	Superseded or Last Record Disposed of Plus 1 Year	Essential (designate this series essential unless records inventories exist)
GS 11 004	<p>RECORDS RETENTION SCHEDULES – GENERAL</p> <p>General records retention schedules prepared by the Division of Archives and Records Management to provide for the legal disposition of state records common to more than one state agency. Provides detailed information on the records, including records series title, function, retention period, final disposition, and archival status. The Division of Archives and Records Management has responsibility for the most important copy of the General Records Retention Schedules. (Revision #1, Approved November, 1999)</p>	Destroy After Superseded	

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 11 005	<p>RECORD DISPOSITION NOTICES</p> <p>A record of the disposition of state agency records through transfer to the State Records Center, the State Archives, or destruction in-house. May include memoranda concerning the disposition of the records, State Records Center Destruction Lists, or other documentation showing the date that a record was either transferred out of the custody of the office of origin or destroyed. (Series Approved, 1997)</p>	Disposition Plus 6 Years	
GS 11 006	<p>REQUESTS FOR RETURN OF RECORDS FROM THE STATE RECORDS CENTER</p> <p>A record of state agency requests for the return of records from the State Records Center. The State Records Center retains the most important copy. (Series Approved, 1997)</p>	Completion of the Transaction then Destroy	
GS 11 007	<p>RECORDS MANAGEMENT PROGRAM SUBJECT FILES</p> <p>Records used to support the administration of an agency records management program, generally arranged by subject. May include management plans, surveys, reports, correspondence with program units, correspondence with the Division of Archives and Records Management and other state agencies, articles, training materials, information booklets and brochures, program announcements, and related records. (Series Approved, 1997)</p>	Administrative Purpose Served Plus 2 Years	
GS 11 008	<p>RECORDS MANAGEMENT POLICIES AND PROCEDURES</p> <p>Policies and procedures developed by state agencies and by the Division of Archives and Records Management pertaining to the maintenance of records management programs. (Revision #1, Approved June, 2001)</p>	Superseded Plus 6 Years	
GS 11 009	<p>RECORDS SCHEDULES – ESSENTIAL</p> <p>Listings of public documents designated by individual state agencies to be essential for the reestablishment of normal operations during and after an emergency. (Series Approved November, 1999)</p>	Superseded Plus 1 Year	Essential

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 11 010	<p>RECORDS INVENTORY DOCUMENTATION</p> <p>Comprehensive analysis and appraisal inventory worksheets or notes used to locate, identify and describe all agency records at the record series level, regardless of media (see AppendixD for Imaging).. Other inventory documentation such as location maps, needs assessments, checklists and other working documents may be retained and destroyed according to GS 11007. (New Series, June, 2001)</p>	Until Superseded Plus 6 Years, or Until Last Records Covered by Inventory are Destroyed Plus 6 Years	Essential

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

GS 12 Forms Management

Documentation of state agency efforts to control and standardize form creation and design, and to monitor the use of forms.

The following records retention schedules reflect the retention and disposition of the primary record regardless of media (see [AppendixD](#) for Imaging).. Copies (regardless of media - see [AppendixD](#) for Imaging).) used for specific legal, fiscal, or administrative purposes (see [AppendixA](#) for definitions) may be either retained using the retention for the primary copy or scheduled separately if a different retention is required.

Copies of these documents preserved only for convenience of reference or informational purposes may be discarded when no longer needed.

GS 12 001 - GS 12 004, Inclusive, Approved by the Washington State Records Committee.

RECORDS COMMITTEE SIGNATURES ON FILE AT THE WASHINGTON STATE ARCHIVES RECORDS MANAGEMENT SECTION

For the Attorney General

For the State Auditor

For the State Archivist

For the Director of OFM

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 12 001	<p>FORM HISTORY FILES</p> <p>Records created to control the creation, design, use and revision of agency forms. Includes initial requests for forms, purpose of form, expected usage, copies of the original form and revisions, and related documentation. (Series Approved, 1997)</p>	Life of Form Plus 2 Years	Essential (a complete set of forms masters needs to be stored offsite)
GS 12 002	<p>FORM ORDER REQUESTS</p> <p>Documentation of the printing of forms. Includes authorizations for the expenditure of funds. (Series Approved, 1997)</p>	Date Ordered Plus 6 Years	
GS 12 003	<p>FORMS INVENTORY FILES</p> <p>Inventories of stocks of forms on hand. (Series Approved, 1997)</p>	Destroy When Superseded or Obsolete	
GS 12 004	<p>FORMS MANAGEMENT PROGRAM SUBJECT FILES</p> <p>Records supporting the administration of an agency forms management program, generally arranged by subject. May include correspondence, memoranda, reports, guidelines, articles, vendor information, sample forms, copies of internal policies and procedures, and other documents related to forms design, management and control. (Series Approved, 1997)</p>	Administrative Purpose Served Plus 2 Years	

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

GS 13 Mail Services

Records documenting the operations of state agency mail room services.

The following records retention schedules reflect the retention and disposition of the primary record regardless of media (see [AppendixD](#) for Imaging).. Copies (regardless of media - see [AppendixD](#) for Imaging).) used for specific legal, fiscal, or administrative purposes (see [AppendixA](#) for definitions) may be either retained using the retention for the primary copy or scheduled separately if a different retention is required.

Copies of these documents preserved only for convenience of reference or informational purposes may be discarded when no longer needed.

GS 13 001 - GS 13 010, Inclusive, Approved by the Washington State Records Committee.

RECORDS COMMITTEE SIGNATURES ON FILE AT THE WASHINGTON STATE ARCHIVES RECORDS MANAGEMENT SECTION

For the Attorney General

For the State Auditor

For the State Archivist

For the Director of OFM

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 13 001	MAIL PICKUP AND DELIVERY RECORDS Mail logs, copies of certified or registered mail receipt forms, signed pickup and delivery receipts, and related records. Includes, but no limited to: Receipt for Certified Mail, Mail Arrival Notice, Certificate of Mailing, Return Receipt for Registered, Insured and Certified Mail, Sender's Statement and Certificate of Bulk Mailing, Return Receipt for International Mail, Special Delivery Notice, and receipts for the pickup of parcels and packages by such private vendors as UPS and Federal Express. (Series Approved, 1997)	3 Years	
GS 13 002	MAIL SERVICES SUBJECT FILES Records documenting the administration of agency mail services, includes correspondence, memoranda, reports, vendor materials, operating manuals, rate schedules, copies of policies and procedures, and other related records. Also may include Consolidated Mail Service Interagency Mail Survey Form. (Series Approved, 1997)	Administrative Purpose Served	
GS 13 003	POSTAGE METER RECORDS A record of the number and classification of items mailed by agency and office. Includes Daily Record of Meter Readings, Application for Postage Meter License, and related documentation. (Series Approved, 1997)	6 Years	Possibly Essential
GS 13 004	RECORD OF POSTAL CHARGES General accounting records for postal activities. Includes Application and Voucher for Refund of Postage Fees, Invoice Voucher Request for Payment to U.S. Postal Service, Postal Service Charge Verification, Daily Cash Report, Post Office Receipt of Money, Receipt for Postage Meter Readings, Postage Due Bill, and related documentation. (Series Approved, 1997)	6 Years	

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 13 005	APPLICATIONS AND PERMITS - PERIODICAL MAIL (2ND CLASS) U.S. Postal Service authorization to send out second class mail. (Revision #1, Approved November, 1999)	6 Years	
GS 13 006	STATEMENT OF MAILING SECOND CLASS PUBLICATIONS U.S. Postal Service statement authorizing the mailing of publications via second class mail. (Series Approved, 1997)	6 Years	
GS 13 007	STATEMENT OF OWNERSHIP, MANAGEMENT AND CIRCULATION Biennial statement submitted to the U.S. Postal Service showing ownership and total distribution of agency publications. (Series Approved, 1997)	6 Years	
GS 13 008	STATEMENT OF BULK RATE MAILINGS Certification to the U.S. Postal Service that mail is properly prepared and presorted and qualifies for bulk rate mailing. (Series Approved, 1997)	6 Years	
GS 13 009	STATEMENT OF MAILING WITH PERMIT IMPRINTS Certification to the U.S. Postal Service that mail is properly prepared and presorted and qualifies for special postage rate. (Series Approved, 1997)	6 Years	
GS 13 010	FIRM MAILING BOOK A record of the assignment of control numbers for registered, insured, certified and C.O.D. mail. (Series Approved, 1997)	6 Years	

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

GS 14 Information Services

Documentation of computer services, computer system management, and computer network management.

The following records retention schedules reflect the retention and disposition of the primary record regardless of media (see [AppendixD](#) for Imaging).. Copies (regardless of media - see [AppendixD](#) for Imaging).) used for specific legal, fiscal, or administrative purposes (see [AppendixA](#) for definitions) may be either retained using the retention for the primary copy or scheduled separately if a different retention is required.

Copies of these documents preserved only for convenience of reference or informational purposes may be discarded when no longer needed.

GS 14001 - GS 14035, Inclusive, Approved by the Washington State Records Committee

RECORDS COMMITTEE SIGNATURES ON FILE AT THE WASHINGTON STATE ARCHIVES RECORDS MANAGEMENT SECTION

For the Attorney General

For the State Auditor

For the State Archivist

For the Director of OFM

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 14001	<p>SYSTEMS AND APPLICATIONS DEVELOPMENT</p> <p>Records created and used to develop, redesign or modify an automated system or application, including, but not limited to, user requirements, status reports and correspondence. (Revision #1, Approved June, 2001)</p>	Disposition or Transfer of System Data to a New Operating Environment, Plus 1 Year	Possibly Essential
GS 14002	<p>SYSTEM SPECIFICATIONS</p> <p>User and operational documentation describing system operations, including, but not limited to, system documentation records, user guides, system flowcharts, and input/output specifications. (Revision 1, Approved June, 2001)</p>	Disposition or Transfer of System Data to a New System, Plus 1 Year	Possibly Essential
GS 14003	<p>DATA DOCUMENTATION</p> <p>Records created during system development or modification and used to access, retrieve or manipulate data. Data documentation may include, but is not limited to, data element dictionaries, file layouts and code books. (Revision 1, Approved June, 2001)</p>	Disposition of Data Plus 1 Year	Possibly Essential
GS 14004	<p>PROGRAM LISTING AND SOURCE CODE</p> <p>Source code that is compiled to generate the machine language instructions used to operate an automated information system. (Revision #1, Approved June, 2001)</p>	Retain for 2 Update Cycles After Code is Modified or Replaced Plus 1 Year. Destroy Remaining Codes 1 Year After Discontinuance of System	Essential

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 14005	TECHNICAL PROGRAM DOCUMENTATION Documentation of program code, flowchart, maintenance log, system change notices, and other records documenting functions of and modifications to computer programs. (Revision #1, Approved June, 2001)	Retain for the Authorized Retention of the Data Plus 1 Year	Essential
GS 14006	TEST DATA BASE FILES Routine or benchmark data sets, related documentation, and test results constructed or used to test or develop a system. (Series Approved, 1997)	Destroy When No Longer Needed, But Not Before Acceptance of Test Results	
GS 14007	DATA PROCESSING OPERATING PROCEDURES Records of procedures for data entry, computer equipment operation, production control, tape library, system backup, and other aspects of a data processing operation. (Revision #1, Approved June, 2001)	Until Superseded or Discontinued Plus 1 Year	Possibly Essential
GS 14008	SYSTEM DOCUMENTATION Records documenting the use, operation and maintenance of an agency's automated information system, including but not limited to user manuals, system requirements for software, hardware and the operating system, hardware configurations and equipment control systems. (Series Approved, 1997)	Destroy After Hardware or Software is Discontinued, But Not Before Data is Migrated to a New System	Possibly Essential
GS 14009	OPERATING SYSTEM HARDWARE CONVERSION PLAN Records relating to the replacement of equipment or computer operating systems. (Revision #1, Approved June, 2001)	Successful Conversion Plus 6 Months	Possibly Essential

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 14010	DISASTER PREPAREDNESS AND RECOVERY PLANS Records relating to the protection and reestablishment of data processing services in the case of a disaster. (Series Approved, 1997)	Destroy After Superseded	Essential
GS 14011	SYSTEM AND DATABASE BACKUP FILES Copies of system files and databases, application software, logs, directories and other records needed to restore a system and its data in the event of system or data loss. Includes records of the location and status of backup copies. (Series Approved, 1997)	Destroy After 3 Backup Cycles	Essential
GS 14012	SYSTEM USERS ACCESS FILES Electronic or textual records created to control or monitor an individual's access to a system and its data. Created for security purposes, including, but not limited to, user account records and access authorization files. (Revision 1, Approved June, 2001)	Termination of User Account Plus 2 Years	Possibly Essential
GS 14013	COMPUTER USAGE FILES Electronic files or automated logs created to monitor computer system usage, including, but not limited to, log-in field system usage files, charge-back files, data entry logs, and records of individual computer program usage. (Revision #1, Approved June, 2001)	Destroy After 6 Months	
GS 14014	SUMMARY COMPUTER USAGE REPORT Summary reports and other paper records created to document computer usage for reporting or cost recovery purposes. (Revision #1, Approved June, 2001)	Destroy 6 Months After Created	

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 14015	COMPUTER RUN SCHEDULING RECORDS Records used to schedule computer runs, including daily schedules, run reports, run requests, and other records documenting the successful completion of a run. (Series Approved, 1997)	Destroy After 30 Days	
GS 14016	INPUT DOCUMENTS Copies of record or copies of forms designed and used solely for data input and control when the data processing unit provides centralized data input services and the original records have been retained by the program unit.. (Revision #1, Approved June, 2001)	Destroy After Data Input and Any Necessary Verification	
GS 14017	WORK OR INTERMEDIATE FILES Records used to facilitate the processing of a specific job or run, or used to create, update, modify, transfer, manipulate, or sort data within an automated system when all transactions are captured in a master file, valid transaction file or database, in cases where the file is not required to provide an audit trail. (Series Approved, 1997)	Destroy After Completion of Transaction	
GS 14018	VALID TRANSACTION FILES Records used to update and/or document a transaction in a database or master file, including, but not limited to, valid transaction files, DBMS files, and similar records. These records are not retained to document a program unit action or for audit purposes. (Series Approved, 1997)	Destroy After 3 Backup Cycles	
GS 14019	PRINT FILES NOT USED TO DOCUMENT A TRANSACTION Source output data extracted from the system to produce hard copy publications, printouts of tabulations, ledgers, reports, or other documents when the files are not needed for audit purposes or to document program unit transactions. (Series Approved, 1997)	Destroy After All Print Runs Are Completed and Output Has Been Verified	

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 14020	AUDIT TRAIL FILES Data generated during the creation of a master file or database, used to validate a master file or database during a processing cycle. (Series Approved, 1997)	Destroy After 3 Backup Cycles	
GS 14021	DATA PROCESSING UNIT'S COPIES OF OUTPUT REPORTS Copies of output reports produced for clients. (Series Approved, 1997)	Destroy After Acceptance By Client	
GS 14022	SUMMARY OF EXTRACTED DATA FILES Summary or aggregate data from a master file or database created solely to distribute data to individuals or program units for reference and use, but not altered or augmented to support program specific needs. (Series Approved, 1997)	Destroy After Data is Distributed	
GS 14023	FINDING AIDS, INDEXES AND TRACKING SYSTEMS Electronic indexes, lists, registers and other finding aids used to provide access to hard copy or electronic records. (Revision1, Approved June, 2001) Note: Finding aids, indexes or tracking systems developed for archival records must be transferred to the State Archives along with the historical record.	Retain Until the Disposition of Indexed Data	Possibly Essential
GS 14024	DESTRUCTION (SCRATCH) REPORTS Records documenting the destruction of electronic files stored in a tape library. (Series Approved, 1997)	Destroy After 1 Year or After Superseded	
GS 14025	DATA OR DATABASE DICTIONARY REPORTS Periodic printouts from a data or database dictionary system, including data element attribute reports, database schema, and related records used for reference purposes. (Series Approved, 1997)	Destroy After Superseded	

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 14026	<p>SITE AND EQUIPMENT SUPPORT FILES</p> <p>Records documenting support services provided to specific data processing equipment or installations, including site visit reports, program and equipment service reports, service histories, and related correspondence and memos. (Series Approved, 1997)</p>	Disposition of Equipment Plus 6 Years	
GS 14027	<p>TRAINING COURSE INFORMATION</p> <p>MEMORANDA, FLYERS, CATALOGS, REGISTRATION FORMS, ROSTERS, AND OTHER RECORD RELATING TO TRAINING COURSES RUN BY A DATA PROCESSING USER SUPPORT OR OFFICE AUTOMATION SUPPORT unit. (Revision #1, Discontinued, Approved June, 2001)</p> <p>NOTE: SERIES DISCONTINUED, RECOMMEND USING APPROPRIATE RECORDS SERIES IN GS 22, STATE EMPLOYEE TRAINING.</p>	Destroy After Superseded or Obsolete	
GS 14028	<p>SOFTWARE REVIEW FILES</p> <p>Records related to the review and recommendation of software for agency use, including vendor information, manuals, software reviews, and related material. (Series Approved, 1997)</p>	Destroy After Software is No Longer in Use	
GS 14029	<p>HELP DESK TELEPHONE LOGS AND REPORTS</p> <p>Documentation of requests for technical assistance and responses to those requests, as well as information on the use of computer equipment for program delivery, security and other purposes. (Series Approved, 1997)</p>	1 Year	
GS 14030	<p>NETWORK CIRCUIT INVENTORIES</p> <p>Automated or paper records containing information on network circuits used by an agency, including circuit number, vendor, cost per month, type of connection, software, contact person, and other relevant information. (Series Approved, 1997)</p>	Destroy After Circuit is No Longer in Use	

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 14031	NETWORK OR CIRCUIT INSTALLATION AND SERVICE FILES Documentation of data communication service, installation or repair, including work orders, correspondence, memoranda, work schedules, copies of building and circuit diagrams, and copies of related fiscal records. (Series Approved, 1997)	1 Year After Action	
GS 14032	NETWORK USAGE FILES Electronic files or automated logs created to monitor the use of the agency's network by its customers or network/Internet usage by its employees, including, but not limited to, log-in records, security logs, and system usage files. (Revision #1, Approved June, 2001)	Destroy After Scheduled Review/Audit OR After 3 Backup Cycles	
GS 14033	NETWORK USAGE REPORTS Summary reports and other records created to document computer usage for reporting or other purposes. (Series Approved, 1997)	1 Year	
GS 14034	NETWORK IMPLEMENTATION PROJECT FILES Records used to plan and implement a network. Includes reports, justifications, working diagrams of proposed network, wiring schematics, diagrams, bids, correspondence, and other related documentation. (Series Approved, 1997)	Destroy After Superseded	
GS 14035	YEAR 2000 PROJECT FILES Documentation of Year 2000 compliance projects. May include program management plans, meeting documentation, project planning, assessment, conversion, test planning and results, implementation, contingency plans, and certification records. (Revision #1, Approved June, 2001)	Termination of Project and/or Contract Plus 6 Years	

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

GS 15 Publication and Duplication Services

Records documenting centralized agency services for publication, printing, photo-duplicating and other forms of document reproduction for large volume runs of publications and smaller quantities of documents for limited distribution.

The following records retention schedules reflect the retention and disposition of the primary record regardless of media - see [AppendixD](#) for Imaging Copies (regardless of media - see [AppendixD](#) for Imaging).) used for specific legal, fiscal, or administrative purposes (see [AppendixA](#) for definitions) may be either retained using the retention for the primary copy or scheduled separately if a different retention is required.

Copies of these documents preserved only for convenience of reference or informational purposes may be discarded when no longer needed.

GS 15001 - GS 15007, Inclusive, Approved by the Washington State Records Committee

RECORDS COMMITTEE SIGNATURES ON FILE AT THE WASHINGTON STATE ARCHIVES RECORDS MANAGEMENT SECTION

For the Attorney General

For the State Auditor

For the State Archivist

For the Director of OFM

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 15001	MASTER JOB LOG A chronological record of all work done by the printing and reproductive office for the fiscal year. (Series Approved, 1997)	3 Years	
GS 15002	MASTER JOB CARDS Historical record of printing jobs, filed alphabetically by the name of the requesting office. (Series Approved, 1997)	3 Years	
GS 15003	PUBLICATION JOB FILES Requests, orders, job descriptions and specifications, publication design records, sample job products and related records documenting jobs completed by an agency publications services unit. Includes estimates, material order sheet, proofs, samples, completed job reports, summary of costs, and related documentation. (Series Approved, 1997)	6 Years	
GS 15004	CAMERA-READY COPIES AND PRINTING MASTERS Documents specifically prepared for use as the final printing master. (Series Approved, 1997)	2 Years	Possibly Essential
GS 15005	DUPLICATING SERVICE JOB FILES Records of duplication services provided by outside vendors or by agency copy services. Includes copy requests, production activity logs, copy machine activity logs, and related records. (Series Approved, 1997)	6 Years	

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 15006	PUBLICATION AND DUPLICATION SUBJECT FILES Records used to support the administration of agency publication and duplication services, generally arranged by subject. May include correspondence, memoranda, studies, reports, plans, operator's manuals, vendor materials, supply catalogs, and copies of internal policies and procedures pertaining to publication and duplication equipment, supplies and services. (Series Approved, 1997)	Administrative Purpose Served	
GS 15007	GRAPHICS AND VISUAL RESOURCES Photographs, slides and other graphic materials used in publications, stored in the form of prints, negatives, transparencies, CD-ROM images or other formats. (Series Approved, 1997)	Administrative Purpose Served	Archival

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

GS 16 Property Management Records

Records documenting the management of state-owned or leased equipment, supplies and motor vehicles. Does not include real property (land) records. See GS 24.

The following records retention schedules reflect the retention and disposition of the primary record regardless of media (see [AppendixD](#) for Imaging).. Copies (regardless of media - see [AppendixD](#) for Imaging).) used for specific legal, fiscal, or administrative purposes (see [AppendixA](#) for definitions) may be either retained using the retention for the primary copy or scheduled separately if a different retention is required.

Copies of these documents preserved only for convenience of reference or informational purposes may be discarded when no longer needed.

GS 16001 - GS 16008, Inclusive, Approved by the Washington State Records Committee.

RECORDS COMMITTEE SIGNATURES ON FILE AT THE WASHINGTON STATE ARCHIVES RECORDS MANAGEMENT SECTION

For the Attorney General

For the State Auditor

For the State Archivist

For the Director of OFM

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 16001	<p>EQUIPMENT AND FURNITURE INVENTORIES</p> <p>Running inventory control documents for equipment such as audiovisual equipment, tools, laboratory equipment, personal computers and printers, and other office equipment and furniture. The records describe each piece of agency-owned or leased equipment and furniture, indicating its location and value.</p> <p>Inventory control documents may include, but are not limited to: Data Input Sheet, Edit Error Report, Edit Control Error Report, Work File Error List, Location Code Report, Update Report, Update Control Report, Tag Number Report, AFRS Organizational Code Report, Asset Report, Data Transmittal to Statewide Asset Reporting System, Added Report, Changes Report, Error Report, Summary Report, Summary of Monthly File Activity Report. (Series Approved, 1997)</p>	Until Report Superseded OR Individual Equipment Off Inventory Plus 6 Years	
GS 16002	<p>ASSET DEPRECIATION REPORTS</p> <p>Calculated value of the depreciation value of state-owned assets. Includes Depreciation Ledger, General Ledger Interface, Depreciation by Cost Center, and related documentation. (Series Approved, 1997)</p>	Superseded Plus 90 Days	
GS16003	<p>SURPLUS PROPERTY DISPOSITION RECORDS</p> <p>Agency copies of records which identify surplus property and its disposition. Includes request for disposal of surplus property, receipts, copies of disposition reports, and Disposed Property Report. (Series Approved, 1997)</p>	6 Years	
GS 16004	<p>SUPPLIES, COMMODITIES AND PARTS INVENTORIES</p> <p>Running inventories used to manage stocks of expendable materials such as office supplies, parts and other expendable supplies, describing the materials and indicating current stock balances. (Series Approved, 1997)</p>	6 Years	

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 16005	<p>SUPPLIES, COMMODITIES AND PARTS DISBURSEMENT RECORDS</p> <p>Records documenting the disbursement of office supplies, commodities, parts, and other expendable materials. (Series Approved, 1997)</p>	6 Years	
GS 16006	<p>EQUIPMENT MAINTENANCE AND REPAIR RECORDS</p> <p>Records documenting service and repairs to agency equipment, excluding motor vehicles. Includes maintenance and repair orders, copies of fiscal documents such as requisitions, purchase orders and vouchers, warranties, manuals, and related materials. (Series Approved, 1997)</p>	Disposition of Item Plus 6 Years	
GS 16007	<p>MOTOR VEHICLE MAINTENANCE AND REPAIR RECORDS</p> <p>Records documenting service and repairs to motor vehicles assigned to or owned by an agency. Includes maintenance orders and logs, copies of fiscal documents such as requisitions, purchase orders, vouchers, warranties, manuals, and related materials. (Series Approved, 1997)</p>	Disposition of Vehicle Plus 6 Years	
GS 16008	<p>CAPITAL ASSETS MANAGEMENT SYSTEM (CAMS)</p> <p>Computerized system to maintain agency inventories of furniture, equipment and other capital assets. Includes asset tracking and depreciation schedules. May be used as input into the statewide asset report. Maintained as a central database by the Office of Financial Management. (Series Approved, 1997)</p>	Until Superseded	

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

~~GS 17 ELECTRONIC MAIL (E-MAIL)~~ SEE [APPENDIXC](#)

Please see [AppendixC](#) for information regarding the handling of public information received via e-mail systems.

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

GS 18 Legal Files

Legal actions involving state agencies are handled by the Office of the Attorney General, primarily by Assistant Attorneys General assigned to each agency. Therefore, most records pertaining to legal actions are centralized under the auspices of the Attorney General. However, many state agencies maintain separate files of correspondence with the Attorney General's Office, informal letter opinions, formal opinions and issue files on legal matters pertaining to the agency.

The following records retention schedules reflect the retention and disposition of the primary record regardless of media (see [AppendixD](#) for Imaging).. Copies (regardless of media - see [AppendixD](#) for Imaging).) used for specific legal, fiscal, or administrative purposes (see [AppendixA](#) for definitions) may be either retained using the retention for the primary copy or scheduled separately if a different retention is required.

Copies of these documents preserved only for convenience of reference or informational purposes may be discarded when no longer needed.

GS 18001 - GS 18004, Inclusive, Approved by the Washington State Records Committee.

RECORDS COMMITTEE SIGNATURES ON FILE AT THE WASHINGTON STATE ARCHIVES RECORDS MANAGEMENT SECTION

For the Attorney General

For the State Auditor

For the State Archivist

For the Director of OFM

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 18001	<p>ATTORNEY GENERAL OPINIONS</p> <p>A record of published, formal opinions on legal matters directly relating to the activities of a state agency. Does not include the Attorney General's copy. (Series Approved, 1997)</p>	6 Years	Archival Possibly Essential
GS 18002	<p>ATTORNEY GENERAL LETTERS</p> <p>State agency copies of correspondence with the Office of the Attorney General. Includes "Informal Attorney General Opinions." Does not include the Attorney General's copy of this correspondence. (Series Approved, 1997)</p>	6 Years	Archival
GS 18003	<p>LEGAL ISSUE FILES</p> <p>Files on legal issues of concern to a state agency. Interpretations of laws and policies, studies, reports, correspondence, copies of legal documents, and other materials pertaining to specific issues. Does not include litigation files or other legal files. (Revision #1, Approved June, 2001)</p>	Issue Resolved Plus 6 Years	Archival Possibly Essential
GS 18004	<p>ATTORNEY GENERAL'S CASE FILES - AGENCY COPY</p> <p>Agency copies of case files under the jurisdiction of the attorney general's office, Collected and maintained to document the agency's role with regard to any legal Issue. May include copies of: back-ground information, lawsuit documentation, correspondence, pleadings, appeals, court orders, etc. May also include agency Working files. (new series June, 2001)</p>	Administrative Purpose Served	

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

GS 19 Legislative Relations

Records documenting the relations of a state agency with the Legislature. Includes files on requested legislation, legislation affecting the agency, contacts with legislators, and other related material. May include records of contacts with legislative bodies at both the state and federal levels.

The following records retention schedules reflect the retention and disposition of the primary record regardless of media (see [AppendixD](#) for Imaging).. Copies (regardless of media - see [AppendixD](#) for Imaging).) used for specific legal, fiscal, or administrative purposes (see [AppendixA](#) for definitions) may be either retained using the retention for the primary copy or scheduled separately if a different retention is required.

Copies of these documents preserved only for convenience of reference or informational purposes may be discarded when no longer needed.

GS 19001 - GS 19005, Inclusive, Approved by the Washington State Records Committee.

RECORDS COMMITTEE SIGNATURES ON FILE AT THE WASHINGTON STATE ARCHIVES RECORDS MANAGEMENT SECTION

For the Attorney General

For the State Auditor

For the State Archivist

For the Director of OFM

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 19001	<p>AGENCY REQUEST LEGISLATION</p> <p>Documentation of legislation requested by an agency. Includes bill drafts, correspondence, fiscal notes, memos, meeting minutes, bill analysis reports, legislative committee reports, monitoring reports, and related records. (Series Approved, 1997)</p>	End of Legislative Session Plus 2 Years	Archival
GS 19002	<p>LEGISLATIVE BILL FILES</p> <p>Copies of bills under consideration by the Legislature with possible significant impact on the agency. May include bill drafts, amendments, fiscal notes, memos, correspondence, committee reports, monitoring reports, and related records. (Series Approved, 1997)</p>	End of Legislative Session Plus 2 Years	Archival
GS 19003	<p>LEGISLATIVE CORRESPONDENCE</p> <p>Correspondence relating to legislative issues, agency policies, or the agency's position on issues. May include constituent correspondence and correspondence with other agencies. (Series Approved, 1997)</p>	End of Legislative Session Plus 2 Years	Archival
GS 19004	<p>PUBLIC DISCLOSURE REPORT</p> <p>Report to the Public Disclosure Commission on lobbying by agency personnel. May be the L-5 Report or a similar document serving the same purpose. (Series Approved, 1997)</p>	End of Legislative Session Plus 4 Years	
GS 19005	<p>LEGISLATIVE CONTACT REPORTS</p> <p>A record of contacts between agency personnel and legislators, legislative staff, lobbyists, or the staff of the Governor's office in regard to pending legislation or other legislative issues. (Series Approved, 1997)</p>	End of Legislative Session Plus 4 Years	

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

GS 20 Affirmative Action

Records documenting state agency affirmative action programs designed to ensure equal employment opportunities in state government.

The following records retention schedules reflect the retention and disposition of the primary record regardless of media (see [AppendixD](#) for Imaging).. Copies (regardless of media - see [AppendixD](#) for Imaging).) used for specific legal, fiscal, or administrative purposes (see [AppendixA](#) for definitions) may be either retained using the retention for the primary copy or scheduled separately if a different retention is required.

Copies of these documents preserved only for convenience of reference or informational purposes may be discarded when no longer needed.

GS 20001 - GS 20004, Inclusive, Approved by the Washington State Records Committee.

RECORDS COMMITTEE SIGNATURES ON FILE AT THE WASHINGTON STATE ARCHIVES RECORDS MANAGEMENT SECTION

For the Attorney General

For the State Auditor

For the State Archivist

For the Director of OFM

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 20001	<p>AGENCY-WIDE AFFIRMATIVE ACTION PLANS, POLICIES AND PROCEDURES</p> <p>Plans developed by state agencies to fulfill affirmative action goals. Includes policy statements and agency procedures. (Series Approved, 1997)</p>	Superseded Plus 6 Years.	Archival
GS 20002	<p>AFFIRMATIVE ACTION ANNUAL REPORTS</p> <p>Annual workforce reports and personnel utilization analysis reports showing progress on affirmative action goals. (Series Approved, 1997)</p>	Calendar Year Plus 6 Years.	Archival
GS 20003	<p>AFFIRMATIVE ACTION SUBJECT FILES</p> <p>Correspondence, memoranda, copies of reports, articles, copies of publications and related documentation, generally organized by subject and used in the administration of an affirmative action program. (Series Approved, 1997)</p>	Administrative Purpose Served Plus 2 Years	
GS 20004	<p>AFFIRMATIVE ACTION GRIEVANCE FILES</p> <p>Agency copies of grievances submitted by job applicants and agency employees, and the resolution of grievances related to affirmative action issues. May include complaints, agency responses and decisions. May also include related correspondence, filings and records of appeals. Also see GS 03 (Personnel/Payroll). (Series Approved, 1997)</p>	Resolution of Case Plus 6 Years	

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

GS 21 Facilities Management

Facilities management encompasses the operation and maintenance of buildings and other facilities owned or leased by agencies of the state of Washington. Includes documentation related to capitol projects, fixed asset management, buildings and grounds maintenance, and space planning and allocation.

The following records retention schedules reflect the retention and disposition of the primary record regardless of media (see [AppendixD](#) for Imaging).. Copies (regardless of media - see [AppendixD](#) for Imaging).) used for specific legal, fiscal, or administrative purposes (see [AppendixA](#) for definitions) may be either retained using the retention for the primary copy or scheduled separately if a different retention is required.

Copies of these documents preserved only for convenience of reference or informational purposes may be discarded when no longer needed.

GS 21001 - GS 21010, Inclusive, Approved by the Washington State Records Committee

RECORDS COMMITTEE SIGNATURES ON FILE AT THE WASHINGTON STATE ARCHIVES RECORDS MANAGEMENT SECTION

For the Attorney General

For the State Auditor

For the State Archivist

For the Director of OFM

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 21001	<p>FIXED ASSETS INVENTORY FILES</p> <p>Agency copies of records documenting the purchase and ownership of major items of equipment. May include purchase orders for fixed assets, vouchers, inventory documents, surplus property disposition records, and other records relating to the purchase, ownership and disposition of fixed assets. (Series Approved, 1997)</p> <p>Does not apply to land ownership records. See GS 24 – Real Property Records.</p>	Disposition of Asset Plus 6 Years	Possibly Essential
GS 21002	<p>FACILITY MAINTENANCE WORK ORDER FILES AND LOGS</p> <p>Agency records documenting maintenance and repair work, work requests, and records of work completed. (Series Approved, 1997)</p>	Completion of Work Plus 6 Years	
GS 21003	<p>PHYSICAL PLANT MAINTENANCE AND OPERATIONS, REFERENCE DRAWINGS AND FILES</p> <p>Agency copies of architectural drawings, engineering plans and fixed equipment manuals used for reference in building maintenance and operation. (Series Approved, 1997)</p>	Superseded Plus 3 Years	<p>Archival (Designation removed 6/01) Possibly Essential</p>
GS 21004	<p>TENANT RECORDS</p> <p>Agency records documenting negotiations and completion of arrangements for leasing or renting office space and other facilities for the use of state agencies. Records may include copies of leases or other agreements, correspondence, lease approvals from control agencies, copies of fiscal documents, requests for maintenance and repairs, and other documents related to a rented or leased facility. (Series Approved, 1997)</p>	Expiration of Agreement Plus 6 Years	Possibly Essential

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 21005	<p>LEASE FILES</p> <p>Records documenting the lease of state owned property or other facilities to public or private organizations or individuals. Records may include copies of lease documents, related correspondence, copies of fiscal documents, and requests for maintenance and repairs. (Series Approved, 1997)</p>	Expiration of Agreement Plus 6 Years	Possibly Essential
GS 21006	<p>SPACE ALLOCATION PLANNING FILES</p> <p>Agency space allocation plans and related documentation, including copies of requests, space and cost estimates, justifications, specifications, building and floor plan layout drawings, and supporting documentation. (Series Approved, 1997)</p>	Completion of Action Plus 4 Years	
GS 21007	<p>PHYSICAL PLANT SYSTEMS MONITORING AND INSPECTION RECORDS</p> <p>Records documenting the operation and inspection of facility heating, ventilation, air conditioning, water, electrical and mechanical systems, including but not limited to meter readings, fixed equipment inspection reports, and equipment fuel consumption records. (Series Approved, 1997)</p>	Disposition of Equipment Plus 6 Years	
GS 21008	<p>BUILDING AND EQUIPMENT REPAIR AND REPLACEMENT RECORDS</p> <p>Records documenting repairs and/or replacement of structural or major equipment items. May include such things as repair or replacement of HVAC systems, electrical or plumbing systems, roofs, walls, floors and other structural elements. Documents may include architectural or engineering drawings, equipment documentation, work orders, fiscal documents, inspection reports, final acceptance documents, and related records. (Revision #1, Approved November, 1999)</p>	Disposition of Building Plus 6 Years	

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 21009	<p>FACILITY MANAGEMENT SUBJECT FILES</p> <p>Records used to support agency facility management programs, generally organized by subject. May include correspondence, memoranda, reports, manuals, copies of policies and procedures, and other records relating to the maintenance and use of facilities. (Series Approved, 1997)</p>	Administrative Purpose Served Plus 2 Years	
GS 21010	<p>CAPITAL PROJECTS – CONSTRUCTION DOCUMENTATION</p> <p>Documents new construction or additions/remodels to existing facilities. May include correspondence, project meeting minutes, approval, program review/comments, plans, drawings, permits, EIS, specs, contracts, test results, reports, modification proposals, change orders, allotment and payment records, etc. (Series Approved November, 1999)</p> <p>NOTE: Does not include General Administration, Engineering and Architecture Services original documents.</p>	Completed and Accepted Plus 6 Years	Possibly Essential

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

GS 22 State Employee Training

Records documenting training development and state employee training, designed to ensure the development of a state work force with the skills and knowledge necessary to accomplish state agency goals, and to offer state employees opportunities for professional and technical skill development.

The following records retention schedules reflect the retention and disposition of the primary record regardless of media (see [AppendixD](#) for Imaging).. Copies (regardless of media - see [AppendixD](#) for Imaging).) used for specific legal, fiscal, or administrative purposes (see [AppendixA](#) for definitions) may be either retained using the retention for the primary copy or scheduled separately if a different retention is required.

Copies of these documents preserved only for convenience of reference or informational purposes may be discarded when no longer needed.

GS 22001 - GS 22004, Inclusive, Approved by the Washington State Records Committee.

RECORDS COMMITTEE SIGNATURES ON FILE AT THE WASHINGTON STATE ARCHIVES RECORDS MANAGEMENT SECTION

For the Attorney General

For the State Auditor

For the State Archivist

For the Director of OFM

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 22001	<p>COURSE INFORMATION RECORDS</p> <p>Memoranda, flyers, announcements, catalogs, and other records related to specific training courses including information on course content, program registration, instructor, credits and hours. (Series Approved, 1997)</p>	Destroy When Superseded or Obsolete	
GS 22002	<p>COURSE REGISTRATION PROCESSING RECORDS</p> <p>Employee applications and enrollment records. Includes employee data forms, course applications, supervisor and training officer authorizations and rosters of registrants. (Series Approved, 1997)</p>	Application for Course Plus 3 Years	
GS 22003	<p>EMPLOYEE TRAINING HISTORY FILES</p> <p>Records of an employee's training history, including employee's name and identifying information, courses registered for and completed, and course completion dates. May be maintained as a separate record in the agency personnel office or within the individual employee personnel files (see also GS 03007). (Series Approved, 1997)</p>	Termination of Employment Plus 7 Years	
GS 22004	<p>PRESENTATION/TRAINING DEVELOPMENT FILES</p> <p>A record of presentation or course material developed and gathered for use in training. May include reference material, outlines, handouts, notes, evaluations, overheads, videos, computerized presentations, etc. (Series Approved November, 1999)</p>	Administrative Purpose Served Plus 1 Year	

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

GS 23 Grants Management

Records generated in the administration of grants either issued by the state or received by state agencies. Records include grant applications, grantor and grantee correspondence and official responses, grant contracts, fiscal records, reports, administrative correspondence, grant products, and related records.

The following records retention schedules reflect the retention and disposition of the primary record regardless of media (see [AppendixD](#) for Imaging).. Copies (regardless of media - see [AppendixD](#) for Imaging).) used for specific legal, fiscal, or administrative purposes (see [AppendixA](#) for definitions) may be either retained using the retention for the primary copy or scheduled separately if a different retention is required.

Copies of these documents preserved only for convenience of reference or informational purposes may be discarded when no longer needed.

GS 23001 - GS 23004, Inclusive, Approved by the Washington State Records Committee.

RECORDS COMMITTEE SIGNATURES ON FILE AT THE WASHINGTON STATE ARCHIVES RECORDS MANAGEMENT SECTION

For the Attorney General

For the State Auditor

For the State Archivist

For the Director of OFM

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 23001	<p>GRANTS ISSUED BY THE STATE - SUCCESSFUL APPLICATION ADMINISTRATION FILES</p> <p>Documentation of granting agency grants and grant programs. Includes grant announcement parameters, grant applications, grant evaluation summaries, notification of grant awards, fiscal reports, correspondence related to grant monitoring, audit reports, and related documentation. Also includes grant project status, and progress and compliance reports prepared and submitted by grantee. (Series Approved, 1997)</p>	End of Grant Period Plus 6 Years	Possibly Essential
GS 23002	<p>GRANTS ISSUED BY THE STATE - APPLICATIONS DENIED</p> <p>Documentation of grants issued by the state, in which the application has been denied. Includes applications, grant evaluation summaries, letters of denial, and other related documentation. (Series Approved, 1997)</p>	Grant Application Denied Plus 1 Year	
GS 23003	<p>GRANTS ISSUED BY THE STATE - PROGRAM FILES</p> <p>Documentation of granting agency grant programs. Includes fiscal reports, correspondence, audit reports, and related documentation. (Series Approved, 1997)</p>	Administrative Purpose Served Plus 6 Years	
GS 23004	<p>GRANTS RECEIVED BY STATE AGENCIES</p> <p>Documentation of grant projects and funds received and expended by state agencies. May include copies of Requests for Proposals (RFPs), applications, notifications of grant awards, fiscal reports and supporting documentation, reports and correspondence related to grant monitoring, audit reports, status reports, compliance reports, grant modifications requests, progress reports, and final reports. (Revision #1, Approved November, 1999)</p>	End of Grant Period Plus 6 Years	Possibly Essential

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

GS 24 Real Property Management

Records pertaining to the acquisition, management and disposition of agency-owned real property (land). Includes appraisals, contracts, deeds, title reports, water rights, and other related documents.

The following records retention schedules reflect the retention and disposition of the primary record regardless of media (see [AppendixD](#) for Imaging).. Copies (regardless of media - see [AppendixD](#) for Imaging).) used for specific legal, fiscal, or administrative purposes (see [AppendixA](#) for definitions) may be either retained using the retention for the primary copy or scheduled separately if a different retention is required.

Copies of these documents preserved only for convenience of reference or informational purposes may be discarded when no longer needed.

GS 24001 - GS 24008, Inclusive, Approved by the Washington State Records Committee.

RECORDS COMMITTEE SIGNATURES ON FILE AT THE WASHINGTON STATE ARCHIVES RECORDS MANAGEMENT SECTION

For the Attorney General

For the State Auditor

For the State Archivist

For the Director of OFM

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 24001	LAND APPRAISALS Contracts and reports on the appraisal of land for monetary value. (Series Approved, 1997)	6 Years	Essential
GS 24002	LAND ADMINISTRATION FILES Documentation of the planning process for the acquisition of land. (Series Approved, 1997)	6 Years	Archival Possibly Essential
GS 24003	LANDS INVENTORY Inventories of land owned by state agencies. Includes summary information on each parcel. (Series Approved, 1997)	Superseded Plus 6 Years	Essential
GS 24004	LAND ACQUISITION DOCUMENTATION Documentation of the process for acquiring particular parcels of land. May include planning reports, boundary descriptions and adjustments, photographs, studies, correspondence, and other related documentation. (Series Approved, 1997)	Disposition of Parcel Plus 6 Years	Archival Possibly Essential
GS 24005	LANDS ESCHEATED TO THE STATE Records pertaining to the conveyance of lands escheated to the state for management or disposal. (Revision #1, Approved June, 2001)	Disposition Plus 6 Years*	Essential
GS 24006	CONDEMNATIONS OF LAND Documentation of condemnation actions either by state agencies or affecting state agencies. (Revision #1, Approved June, 2001)	Disposition Plus 6 Years*	Essential

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 24007	WATER RIGHTS ACQUIRED BY THE STATE Records of actions documenting the acquisition of water rights on state land. (Revision #1, Approved June, 2001)	Disposition Plus 6 Years*	Archival Essential
GS 24008	DEEDS, PATENTS, CLEAR LISTS Documentation of the conveyance of land titles to the state. Includes all supporting documentation. (Revision #1, Approved June, 2001)	Disposition Plus 6 Years*	Archival Essential

*A durable copy (microfilm, paper, or electronic as approved by the State Archivist) of any record that is still active after having been in existence for 50 years must be provided to the State Archives so that the information may be preserved for posterity. (Statement revised, 6/01)

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

GS 50 Administrative Materials With No Retention Value

Administrative materials with no retention value are materials which have no administrative, legal, fiscal or archival requirement for their retention. They may be discarded when no longer needed.

GS 50 001 Inclusive, Approved by the Washington State Records Committee.

RECORDS COMMITTEE SIGNATURES ON FILE AT THE WASHINGTON STATE ARCHIVES RECORDS MANAGEMENT SECTION

For the Attorney General

For the State Auditor

For the State Archivist

For the Director of OFM

STATE GOVERNMENT AGENCIES GENERAL RECORDS RETENTION SCHEDULE

Disposition Authority Number	Record Series Title and Function/Description	Retention Period Of Official Copy	Special And/Or Disposition Instructions
GS 50 001	<p>ADMINISTRATIVE MATERIALS WITH NO RETENTION VALUE</p> <ul style="list-style-type: none"> • Information-only copies, or extracts of documents distributed for reference or convenience, such as announcements or bulletins • Phone message slips that do not contain information • Copies of published materials • Undistributed or extra copies • Blank, unnumbered forms • Preliminary drafts • Routing slips • Transmittal memos • Published reference materials • Stocks of publications • Reservations and confirmations • Copies of inter- or intra-agency memoranda, bulletins or directives of a general information and non-continuing nature <p>(Revision #2, Approved, June 2001)</p>	Destroy When No Longer Needed	

Glossary

ACCESSION

- The act and procedures involved in a transfer of legal title and the taking of records or papers into the physical custody of an archival agency.
- The materials involved in such a transfer of custody.

ACTIVE RECORDS

Records that are referenced more than once per month per file drawer are considered active. Active records should be maintained in the office.

ADMINISTRATIVE FILES

Records documenting the operation, management, and administration of an office; usually distinguished from program records that relate to the office's primary function.

ADMINISTRATIVE VALUE

The usefulness of a specific records series for the administration of current or future business.

ALPHABETICAL FILING

Arrangement of records according to the alphabet; used mainly for files referred to by name or topic.

ARCHIVES

- The records, which have passed their retention requirement, that are transferred to archival custody and preserved because of their continuing historical research value.
- The agency responsible for selecting, preserving, and providing public access to archival records.
- The building in which archival records are preserved and referenced.

CASE FILES

See Project Files

CD-ROM -

See Compact Disk, or Read-Only Memory

CENTRALIZED FILES

The files of several offices or organizational units physically or functionally that are centralized and supervised in one location.

CHRONOLOGICAL FILING

Arrangement of records according to date.

CODING

Marking a file code on a document prior to filing.

COMPACT DISK

A machine-readable medium used to reproduce records for rapid retrieval..

CONVENIENCE FILES

Extra copies of records created and kept for quick reference.

CORRESPONDENCE

Any format of information that is an addressed, written communication to or from an agency or its employees.

CUSTODY (OF RECORDS)

The guardianship of records that includes both physical possession and legal title.

CUT-OFF

The termination of files at regular intervals to permit their transfer, retirement, or disposal in complete blocks. Under this process, a file is terminated regularly at the end of a specified period of time or event, and a new file established.

DECENTRALIZED FILES

Files that are created, used, maintained and controlled in or near the office of record.

DISPOSITION

Any manner or method of changing the custody, location, or physical state of records. Includes transfer, microfilming, duplication and destruction.

DISPOSITION AUTHORITY NUMBER (DAN)

The control numbers assigned to records retention schedules and general records retention schedules approved by the State Records Committee.

ELECTRONIC RECORDS

Records created and/or stored by electronic means, usually on computer systems.

ESSENTIAL (VITAL) RECORDS

Records essential to:

- Protect the legal rights of clients, property owners, students and other citizens;
- The resumption and/or continuation of agency operations;
- The re-creation of the legal and financial status of the agency; or
- The fulfillment of obligations to local, state, and federal governments and outside interests.

FILE CLASSIFICATION

See Primary and Secondary

FILE PLAN

A listing of all records series held at each file station, including retention periods, file codes, methods of filing, and disposition instructions.

FISCAL VALUE

The usefulness of a specific records series for the documentation of an agency's financial transactions and obligations.

GENERAL RECORDS RETENTION SCHEDULE

A schedule, listing and assigning minimum retention periods to individual records series, which is approved for all state government agencies, or particular types of agencies, by the State Records Committee. General records retention schedules provide the agencies they cover with continuing blanket authority for the disposition of commonly held records according to their assigned retention periods.

GEOGRAPHICAL FILING

Arrangement of records according to geographical area, alphabetically.

GUIDE

A card or tab divider used in filing systems to identify sections and/or sub-sections of the file. Guides provide physical support and aid in filing and finding individual records.

HISTORICAL VALUE

The usefulness of a specific records series for historical research. Typically, 1% to 5% of an agency's total records have historical value.

IMAGING

The act of reproducing records on digital, or micrographic media.

INACTIVE RECORDS

Records with a reference rate of less than one search per file drawer per month. Such records may be transferred to an inactive records storage center.

INVENTORY

1) A descriptive listing of records series held by an office or file station, including such data as title, inclusive dates, quantity, arrangement, relationships to other series, and description of significant.

Subject content; 2.) A survey of records conducted prior to disposition or the development of a records retention schedule.

LEGAL VALUE

The usefulness of specific records series as documentation of an agency's legally enforceable rights and obligations.

MACHINE-READABLE RECORDS

See Electronic Records and Optical Disc

MATERIAL WITH NO RETENTION VALUE

Material that does not need to be filed or that may be destroyed after a short retention. This includes drafts, worksheets, telephone messages, blank forms, publications, and extra copies of documents created for convenience or public distribution.

MICROFILM

A high-resolution photographic film used to record reduced-size images from original records. The act of recording microphotographs on film.

NUMERICAL FILING

Arrangement of records in sequence according to document number.

OFM (OFFICE FILES AND MEMORANDA)

A public records classification provided by RCW 40.14 that identifies records that have purely administrative value.

OPR (Official Public Record)

A public records classification provided by RCW 40.14 that identifies records that have significant legal or fiscal value.

OPTICAL DISK

A machine-readable medium used to reproduce records for rapid retrieval.

OUT-CARD

A guide card used to indicate that records have been taken from the file. Identifies the specific item/file, date, and name of the person temporarily holding the record with an "out-card."

PERMANENT RECORDS

Records that have sufficient legal, fiscal, and/or historical value, to be retained forever.

PRIMARY FILING CLASSIFICATION

The most general category under which records can be sorted and arranged for filing. Primary filing classifications should be defined by the function and retention requirements.

PRIMARY RECORD COPY

The original or official copy of a records series.

PROGRAM LEVEL RECORDS

Records, which are compiled as direct documentation of the program, as opposed to records, created during the course of administering the program. Example: correspondence, subject files, policy statements and planning records documenting the operation.

PROJECT (CASE) FILES

Groups of documents that pertain to a particular action, event, person, or place. May consist of correspondence, form records, memoranda, reports, or a combination of such records.

PROPRIETARY RECORDS

Records containing information of a confidential or highly sensitive nature requiring destruction by shredding, to eliminate the possibility of illegal or undesirable disclosure.

PUBLIC RECORD

See Records

PURGING

See Screening

READ-ONLY MEMORY (ROM)

Electronic record storage systems that allow for research or "reading" access but protect the record from additional entries or alterations.

READING (DAY) FILE

A file of extra copies of outgoing correspondence arranged in chronological order.

RECORDS

Papers (reports, correspondence, legal documents, etc.), photographs, magnetic tape, microfilm, sound recordings, maps, drawings, or other documents, regardless of physical form or characteristics, and including all copies thereof, either organized or received by an institution.

RECORDS CENTER

A low-cost facility for the organized and controlled storage, maintenance, retrieval, and disposition of inactive or non-current records.

RECORDS COORDINATOR

Assistant Records Officer

RECORDS MANAGEMENT

The management function concerned with the efficient, systematic control of records from their creation to their ultimate disposition.

RECORDS OFFICER

The individual responsible for an agency's records management procedures, including retention scheduling, files organization, records storage, and destruction.

RECORDS RETENTION SCHEDULE

A schedule, listing and assigning minimum retention periods to individual records series, which is approved for a specific agency by the State Records Committee. A records retention schedule provides the agency for which it is approved continuing records disposition authority.

RECORDS SERIES

A group of records, performing a specific function, which is used as a unit, filed as a unit and may be transferred or destroyed as a unit. A records series may consist of a single type of form or a number of different types of documents that are filed together to document a specific function.

REFERENCE FILES

Publications, books, periodicals, catalogs, bulletins, reports, maps, theses, tapes, films, photographs, and other materials that are needed as informational resources but are not part of the main body of files.

RETENTION PERIOD

The minimum amount of time required for the retention of a records series on a records retention

schedule or general records retention schedule approved by the State Records Committee.

ROM

See Read-Only Memory

SCREENING

Removal of individual papers or folders from a group of records, usually to permit disposal of parts of the file, and retention or transfer of the rest. Also known as purging or weeding.

SECONDARY FILING CLASSIFICATION

The second most general class of filing category under which records can be sorted or arranged for filing; subsidiary to primary classification.

STATE RECORDS COMMITTEE

The body established by the Public Records Act, RCW 40.14.070, to review and approve schedules for the retention and disposition of all state government records. It includes the State Archivist and one representative each from the Offices of the State Attorney General, State Auditor, and Financial Management.

SUBJECT FILE

A file in which documents are arranged alphabetically by general subject or topic.

SUSPENSE FILE

A file in which documents are arranged chronologically by a future date of recall, to remind the user of future tasks and events. Also known as a tickler file.

TICKLER FILE

See Suspense File

TRANSACTIONAL FILES

Records documenting the unique daily transactions or activities of an office that distinguish its primary functions.

TRANSITORY FILE

A file of routine correspondence and other records with short-term value. Its retention period is limited to the interval required for completion of specific actions covered by individual pieces of correspondence.

TRANSMITTAL

Documentation authorizing the disposal, transfers to inactive storage, or transfer to archival storage of public records.

VITAL RECORDS

See Essential Records

WORKING FILE

A file of rough notes, calculations, or preliminary drafts that are assembled and used in the preparation or analysis of other documents; usually retained in desk files or filed separately until project completion.

Appendix A – Recordings of Meeting Minutes

Stenographic notes or tapes do not constitute the official minutes of a public meeting. They must be transcribed, recorded, and adopted by the governing body at the next public meeting to become official minutes.² Once transcribed, the stenographic notes and tapes become the preliminary drafts and can be destroyed per the State General Schedule, Section 50. **NOTE:** The State Records Committee recommends that transcribed stenographic notes and tapes of open public meetings be retained for three months following adoption of the official meeting minutes. This time frame allows them to serve as backup documentation for any challenges that might be received regarding the minutes.

If a challenge does occur, the stenographic notes or tapes become part of the documentation regarding the challenge and will need to be maintained for the retention of the entire file.

Media recordings other than hard copy may be adopted as the official meeting minutes. Appropriate handling and storage of these media must occur to assure the retention of the information for the duration of the records series retention. If the meeting minutes are designated as “archival,” contact David Hastings (753-1801) at the Division of Archives and Records Management for an analysis of the specific situation.

² Based on AGLO 1972 No. 19

Appendix B – Website Records

The following information is taken from several sources, including: National Historical Publications and Records Commissions (NHPRC) website; and the National Archives of Australia's (NAA) publications: Archiving Web Resources - Guidelines and Archiving Web Resources - Policy. (For more complete and up- to-date information, check the following websites: <http://www.nara.gov/records/index.html> and http://istweb.syr.edu/~mcclure/nhprc/nhprc_chpt_1.html or http://www.naa.gov.au/recordkeeping/er/web_records/guide_intro.html - websites URLs were current as of 8/2001.

Every state agency is accountable for resources delivered or made available over its public websites. Agencies use websites to publish information, give advice and instructions, and facilitate the provision of products and services. They create interaction between an agency and its clients or customers. It is vital that agencies establish policies, procedures and systems that ensure that full and accurate records of web-based activity are created and retained.

Websites contain and also generate public records that should be maintained to meet any legal obligations for evidence of present and past positions, advice, guidance, transactions or instructions on particular matters it delivers. These records must be authentic, reliable, accurate, and provide durable evidence of web-based activity. These same public records need to be inventoried and included on approved agency records retention schedules which provide authority for the retention and destruction or transfer of such records.

Website records document both the structure and the public face of the agency. Consequently, some of these records will have historical value and need to be transferred to the State Archives at the end of their retention periods.

It is recommended that the policies and procedures directives be developed, maintained, and updated regularly by a team comprised of records management staff, website administrators, and information technology staff. This combination of expertise will help the agency keep abreast with the dramatically and rapidly changing technologies, tools, formats and applications developed for website administration. Records that document the processes involved in planning, designing, producing and maintaining web resources should be captured and retained. Any changes to websites need to be tracked and recorded. These required decisions can only be made within each agency based on the context of a particular website.

Each agency should assess the business risk it faces in maintaining an online presence. The level of risk depends both on the nature of an agency's business and its public profile. The assessment should be used to guide the agency's retention of the public records created for or by its website. Periodic assessments should be made to insure that changes to the risk be reflected in the management of the records.

Some public records placed on websites already exist in a formal record keeping system. However, website content is increasingly being created for placement directly on websites. Agencies need to have procedures in place to capture these public records along with sufficient metadata documenting the content, context and structure of the records and their placement on the website.

Websites that are used as a means of conducting official business between agencies and its clients or customers need to capture and retain individual records into an established record keeping system. The system should help guarantee the authenticity, reliability and accessibility

of the records. Without legally sustainable evidence that the record is authentic, a court of law may not admit the record into evidence. These sites are likely to also require the creation and capture of other records relating to site security, such as audit logs, which track use of the site.

Any log tracking changes to websites must have sufficient metadata to interpret the log over time. This metadata must remain useable as long as the associated information is retained.) Use appropriate log analysis software, as raw log files are confusing and often difficult to decipher. Most logs of website transactions will contain personal information about the user. The Governor's Executive Order 00-03 limits the collection of personal information "to that reasonably necessary for purposes of program implementation, authentication of identity, security, and other legally appropriate agency operations."

The NAA suggests various approaches to capturing web-based resources and activity. These could be either an object-driven or event-driven strategy. An object-driven strategy may include periodic snapshots of the website, its data objects and the associated metadata. An event-driven strategy would involve capturing transactions that occur between the website and the user and keeping track of the website changes to enable its full reconstruction at any given date. Often a combination of these two approaches is needed to preserve a complete record of the website and its activity.

A relatively static website comprised of simple documents with low interactivity will have different requirements for maintenance than complex web-based documents or a highly interactive website.

To determine the best strategy for maintaining records of web-based activity, the agency needs to perform an assessment of each of its websites and the type of activities occurring at the sites. Does the website simply offer information or are business transactions performed, or do both occur? How complex and diverse are the web-based activities? How frequently does the website change? What is the risk of the website information being challenged? What are the record keeping requirements for the information posted or created by the website? Can the agency's technological environment support the record keeping needs of the website records? Does the agency have the necessary resources?

Maintaining captured web-based records over time should include: ensuring that records are stored in widely accepted, technology-neutral storage and data interchange formats such as XHTML; maintaining master sets in different locations (and in two different formats where appropriate); refreshing the media regularly; and performing random spot checks to monitor functionality and integrity of the records. Any loss of functionality, content or appearance that occurs as a result of reformatting or migration should be fully documented.

Agencies may already be creating back-ups of the website as part of normal disaster recovery strategies. Back-ups are regularly overwritten and are not useful for record keeping purposes.

Websites are commonly used tools and are becoming more complex as technology advances. Agencies have a responsibility to citizens of the state of Washington to capture, maintain, and properly dispose of or transfer all public records of their agency. It is vitally important that this includes those public records that reside on or are generated by agency websites.

Appendix C - Electronic Mail (E-Mail)

Electronic mail is primarily a communication system. E-mail messages may constitute public records under Chapter 40.14RCW with legally mandated retention requirements, or may be information with no retention value. E-mail messages are public records when they are created or received in the transaction of public business and retained as evidence of official policies, actions, decisions or transactions. E-mail that has other valuable informational content relating to state business is also a public record. E-mail messages that are public records must be identified, scheduled and retained just like records in other formats.

In determining the proper length of retention for messages and attachments sent or received electronically, consider each message just as if it was conveyed on paper. All e-mail messages cannot be considered to have equal retention value, but must be managed individually according to the approved retention for the information.

Currently few e-mail systems are designed to categorize and retain information. Public records should be retained in e-mail format only as long as they are being worked on or distributed. To assure appropriate management of public records with assigned retention periods generated or received through an e-mail system, transfer messages to paper, disk, or PC hard drive and file and retain according to the legal retention required for the informational content of each message.

Samples: Electronic Mail (E-Mail) messages that are usually public records and must meet records retention requirements before being destroyed.

- Policy and Procedure Directives
- Correspondence or memoranda related to official public business
- Agenda and minutes of meetings
- Documents related to legal or audit issues
- Messages which document agency actions, decisions, operations and responsibilities
- Documents that initiate, authorize or complete a business transaction
- Drafts of documents that are circulated for comment or approval
- Final reports or recommendations
- Appointment calendars
- E-Mail distribution lists
- Routine information requests
- Other messages sent or received that relate to the transaction of state government business

Appendix D – Imaging Standards



The Washington State Archives
Records Management Section
PO Box 40238
Olympia, Washington 98504

IMAGING SYSTEMS STANDARDS OF WASHINGTON STATE PUBLIC RECORDS AND RETENTION SCHEDULING POLICY/PROCEDURES

References:	RCW 40.14, WAC 434-663
Contact:	Washington State Archives and Records Management Division
Effective Date:	March 2002
Supersedes:	N/A
Approved:	State and Local Records Committees

Purpose

The purpose of these standards is to provide general guidance to agencies in the area of image enabled Electronic Document Imaging Systems.

The purpose of these procedures is to give direction to government agencies about implementation, and use of optical imaging systems. It puts into effect the recommendations and standards that have been developed by WAC 434-663. This procedure is designed to help government agencies acquire electronic document imaging systems that meet existing legal and operational requirements before destroying the primary source document.

Policy

The standards outlined below represent the State's Preferred Standards for Electronic Document Imaging Systems technology.

DEFINITIONS:

For the purposes of these standards/procedures, the following definitions apply:

Agency means a governmental entity of state or local government in Washington.

Archival records are records that have permanent and/or historical value and are scheduled as archival.

De facto standard is a widely accepted industry standard without official recognition by a standards group.

Document scanning. A specially designed input workstation is required to convert documents or images to machine-readable form for computer processing and storage. At a minimum, the input workstation includes a document scanner, an image processor unit, a video display unit, keyboard, and access to storage. Using a solid-state array or other photosensitive components, the document scanner measures the amount of light associated with successively encountered PELs (Picture Element) and transmit a corresponding electrical signal that is converted to computer compatible digital codes.

Electronic document imaging system An electronic document imaging system is a computer-based configuration of equipment and software that stores machine-readable document images

and their associated character-coded index data for on-demand retrieval. Electronic images can be computer generated, or created through document scanning.

Enhancement Any method including adjusting brightness and contrast, or algorithm employed with the objective of producing an accurate and legible copy.

Image An image can be a document, picture, or graphic. Scanning paper can produce an image or film documents, producing images through a computer program, receiving an image by means of a fax, or by other means.

Long-term records are records having a retention period in excess of ten years

Off-site location means a premises, building or structure that houses an agency's primary imaging system's security back-up that is separate and apart from the premises, building, or structure.

Official Public records shall include any paper, correspondence, completed form, bound record book, photograph, film, sound recording, map drawing, machine-readable material, compact disc meeting current industry ISO specifications, or other document, regardless of physical form or characteristics, and including such copies thereof, that have been made by or received by any agency of the state of Washington in connection with the transaction of public business (Chapter RCW 40.14.010).

Open system is defined to be a system that implements sufficient public specifications for interfaces, services and supporting formats to enable applications software to be ported across a wide range of systems, to interoperate or interchange with other applications on local and remote systems, and to interact with users in a style that facilitates portability. Public specifications are maintained by open, public consensus process to accommodate new technology over time, and which are consistent with international standards

Permanent records are those records that are required by specific statute to be retained permanently.

Record series means group of records that are created, used, filed, and disposed of as a unit because they relate to a particular subject or function, result from the same activity, or document a specific kind of transaction

Records Retention and disposal schedule means a listing of all public records an agency receives, creates, or retains, prescribing where and for how long the public records will be retained and the medium that will be used for retention purposes, as required by Chapter RCW 40.14.

Component	Preferred Standard/Recommended Best Practice
QUALITY OF DIGITAL IMAGES	<ul style="list-style-type: none">Exercise control over the conversion of the original image to digital data, enhancement, and compression for storage, decompression for retrieval, display and printing.
SCANNING DENSITY	<ul style="list-style-type: none">Type fonts no smaller than six-point shall be scanned at a minimum density of 200 dots per inch (dpi)Type fonts smaller than six-point, engineering drawings, maps or similar documents with fine detail or poor contrast, shall be scanned at a minimum density of 300 dots per inchUntil ANSI or AIIM standard for color images is established, color documents must be scanned at a 150 dots per inch and use TIFF, Version 5 specifications.Quality Control procedures shall conform to ANSI/AIIM MS44-1988, Practice for Quality Control of Images Scanners.
COMPRESSION & DECOMPRESSION OF DATA	<ul style="list-style-type: none">Consultative Committee on International Telegraph and Telephone (CCITT) Group 3 or 4 [CCITT is now known as International Telecommunication Union-Technical (ITU-T)]Storage of images approved for a six or less retention from the date of creation a less compression of TIFF Group 3 or 4 standard may be used.Color images, TIFF, Group 5, are recommended.

ARCHITECTURAL RECOMMENDATION	<ul style="list-style-type: none"> • Purchase or develop <i>Open System Solutions</i> that guarantees the portability of current data to be used with future technologies.
SYSTEM DOCUMENTATION	<ul style="list-style-type: none"> • Hardware system administrator manual specifying hardware, cabling, and communications configurations • Software applications documentation, including user manuals and design documentation • Operational procedures for scanning, indexing and verifying images • Current security and system change control procedures, including logs of those changes, indicating the date, identity of the person making the changes and the reason for the change • Written procedures for periodic back-ups, including schedules and the location of secure off-site storage for those backups.
RETENTION SCHEDULING AND DISPOSITION OF PUBLIC RECORDS	<ul style="list-style-type: none"> • Destruction of source documents or changes to the retention period of any public records due to conversion to or the use of a new media requires legal approval of the State or Local records committee.
RECORDS SCHEDULING FOR RECORDS ON IMAGING SYSTEM	<ul style="list-style-type: none"> • Scheduling should be done prior to the creation of a imaged document • Imaged schedules contain content and function at the series level. • Records retention schedules must include information system operation and maintenance for the agency using the system
AGENCY ACQUISITION – DEPT. OF INFORMATION SERVICES APPROVAL	<ul style="list-style-type: none"> • State agencies intending to utilize an imaging system for the storage or conversion of public records must comply with all requirements of the Dept. of Information Services (DIS)
DISPOSITION OF RECORDS IDENTIFIED AS ARCHIVAL BY THE RECORDS COMMITTEE	<ul style="list-style-type: none"> • May not be destroyed without committee approval, even where images of those records have been produced and stored on an electronic imaging system
USABILITY OF IMAGE AND INDEX DATA OVER TIME	<ul style="list-style-type: none"> • Information must remain accessible for the entire retention period of the record series • Ensure proper environmental condition, periodic recopying, and strategies to preserve data by migration from one generation of technology to another
RECORD KEEPING CAPABILITIES	<ul style="list-style-type: none"> • Tracks at the record series level • Ability to properly dispose of records that have met their retention • Record authentication functions as needed to meet legal, audit, and administrative requirements <ol style="list-style-type: none"> 1. Computer date & time of creation or updating 2. Identity of the user or system that created or updated the record 3. System-enforced log of disposition actions • Protection against unauthorized access (password hierarchy or other system security) • Indexing capabilities that provide flexibility in associating a record series with multiple subject categories that: <ul style="list-style-type: none"> • Facilitate access and retrieval • Provide links to related records or supporting documentation
INDEXING REQUIREMENTS <i>Based on analysis of the retrieval requirements associated with the application</i>	<ul style="list-style-type: none"> • Must maintain efficient and accurate retrieval of images and information for the length of the retention • Design and content should utilize standard attributes whenever available • Take into account the security and retrieval requirements of both current and future users of the records (including personnel, researchers, and the public)
PRESERVATION OF RECORDS WITH RETENTION PERIOD OF TEN YEARS OR LONGER OR RECORDS DESIGNATED ARCHIVAL	<ol style="list-style-type: none"> 1. Retain the original paper documents 2. Microfilm the original documents 3. Migrate optical media and magnetic media at least every ten years or sooner as is necessary to avoid technical obsolescence, loss of readability, and excessive read error rates 4. Record the electronic images on industry standard microfilm at the same density at which they were scanned.
HEADER INFORMATION ON IMAGED FILES WITH RETENTION PERIOD OVER TEN YEARS OR LONGER OR DESIGNATED ARCHIVAL	<ul style="list-style-type: none"> • TIFF or a header that complies with ANSI-AIIM MS53, File Format for Storage and Exchange of Images, or Bi-level File Format: Part 1


SECURITY BACK-UP OF ELECTRONIC IMAGING SYSTEM RECORDS	<ul style="list-style-type: none"> Frequency should be determined by the data lost if having to be restored using the previous back-up To ensure failure, multiple back-ups should be made and store in different locations (one copy off-site) One back-up copy should be stored on a nonproprietary format. Security back-up must be inspected using de facto or industry standards on a regular schedule and replaced before predicted failure If one of the back-up copies of an operational imaging system is found to deviate from the primary production copy due to corruption or read errors, the discrepancy must be located and both the production and backup copies must be corrected to contain accurate version of the original images.
ENSURING USABILITY	<ul style="list-style-type: none"> The system must include an electronic error checking utility that will check the integrity of the data when written to the media.
ENVIRONMENTAL STANDARDS OR BEST PRACTICES FOR STORAGE OF ELECTRONIC MEDIA	<ol style="list-style-type: none"> 1. Temperature ranges meeting standards and best practices recommended for the media stored 2. Humidity range meeting standards or best practices recommended for the media stored 3. Media should be stored in a closed container to protect from dust and fingerprints 4. Magnetic tape should be rewound in accordance with de facto or industry standards or to best practices
CONTINUED ACCESS TO DATA IN AN EXISTING ELECTRONIC SYSTEM THAT CANNOT BE MAINTAINED FOR THE SPECIFIED RETENTION	<ul style="list-style-type: none"> Images must be migrated without loss to the images or indexes at the time of acquisition or implementation of a new system Access to data not migrated, requires preserving the data, the storage medium in which the data is kept, and whatever hardware, operating system, and applications of software is needed to view and use the data until the retention period has been met.
DATA CONVERSION COST	<ul style="list-style-type: none"> System planning should include analysis of future information access, maintenance, data conversion, and security cost.
STANDARDS BODIES AND REFERENCE	<ul style="list-style-type: none"> American National Standards Institute (ANSI) International Organization for Standardization (ISO) International Telecommunications Union (ITU) International Electro technical Commission (IEC) ISO/IEC JTC
REFERENCE ORGANIZATIONS	<ul style="list-style-type: none"> Association of Information and Image Management (AIIM) Document Management Alliance (DMA) Institute for Electronic and Electronics Engineers (IEEE) National Information Standards Organization (NISO) National Institute of Standards and Technology (NIST)

PROCEDURES:

Conversion to an imaging system does not automatically authorize the destruction of the source documents. Destruction of, or changes to the retention period of, any public records due to conversion to or the use of a new media requires legal approval of the state or local records committee of the state of Washington (WAC 434-663-600). Records retention scheduling for records on imaging systems requires that the records series be scheduled prior to the creation or copying of images. You must include documentation of the electronic information system operation, and maintenance when submitting your records retention schedules for state or local committee approval (WAC 434-663-615). This includes when using the general schedules.

These procedures will not guarantee an optical imaging system's integrity, but it will help demonstrate the users' good faith in employing the best existing standards in this field. Therefore, the procedures will be treated as a living document, subject to change and improvement like the vigorous technologies they represent.

Use form OSOSF-005 (03-02) Electronic Imaging Systems Documentation for System Operation and Maintenance for the purpose to destroy a source documents or creates public records on Electronic Imaging System as a supplement to your Records Retention schedule.

 <p>Secretary of State SAM REED</p> <p>Washington State Archives records Management PO Box 40238 Olympia, Washington 98504-0238 (360) 586-4902</p>	<p>ELECTRONIC IMAGING SYSTEMS (EIS) DOCUMENTATION FOR SYSTEMS OPERATION AND MAINTENANCE</p> <p>Supplemental to the Records Retention Schedule for the purpose of legal compliance when disposing of a primary source document or creation of a new public record within an EIS WAC 434-663</p>	
<p>OSOSF-005 (03-02) INSTRUCTIONS: Submit as a supplement to your records retention schedule</p>	<p>State agencies intending to utilize an imaging system for the storage or conversion of public records must comply with other requirements of the Dept. of Information Services (DIS) per WAC 434-663-630.</p>	
<p>1. AGENCY:</p>	<p>2. DIVISION:</p>	<p>3. GOVERNMENTAL TYPE:</p> <p><input type="checkbox"/> State Agency <input type="checkbox"/> Local Agency</p>
<p>4. MAILING ADDRESS:</p>	<p>5. RECORDS OFFICER (NAME/PHONE/EMAIL):</p>	
<p>6. RECORDS OFFICER SIGNATURE/DATE (REQUIRED)</p>		

The State Archivist and State Auditor representative on the Records Committee requires this supplemental be included with records retention schedules that require additional legal approval for the following (check all that apply):

<input type="checkbox"/>	THE RECORDS I AM IMAGING/SCANNING HAVE BEEN IDENTIFIED AS ARCHIVAL BY THE RECORDS COMMITTEE AND THEREFORE, MAY NOT BE DESTROYED WITHOUT COMMITTEE APPROVAL, EVEN WHERE IMAGES OF THOSE RECORDS HAVE BEEN PRODUCED AND STORED ON AN ELECTRONIC IMAGING SYSTEM (WAC 434-663-640).
<input type="checkbox"/>	THE AGENCY WANTS TO DESTROY A PRIMARY SOURCE DOCUMENTS OR CHANGE THE RETENTION PERIOD DUE TO THE CONVERSION TO AN ELECTRONIC IMAGING SYSTEM (WAC 434-663-600).
<input type="checkbox"/>	THE AGENCY IS CREATING A NEW PUBLIC RECORD ON AN ELECTRONIC IMAGING SYSTEM AND UNDERSTANDS THAT THE SCHEDULE SHOULD BE APPROVED PRIOR TO THE CREATION OF THE IMAGED DOCUMENT THAT INCLUDES THE INFORMATION SYSTEM OPERATION AND MAINTENANCE FOR THE AGENCY USING THE SYSTEM (WAC 434-663-615).

Note: Electronic imaging systems containing public records that have a retention period of ten years or longer or records designated archival must be comply with WAC 434-663-720.

System Documentation

a. SYSTEM NAME/ACRONYM:	
<input type="checkbox"/> YES	1. A HARDWARE SYSTEMS ADMINISTRATOR MANUAL IS AVAILABLE SPECIFYING HARDWARE, CABLING & COMMUNICATIONS CONFIGURATIONS PER WAC 434-663-530.

<input type="checkbox"/> YES	2. Architectural is an “Open Systems Solutions” per WAC 434-663-500.
<input type="checkbox"/> YES	3. THERE IS SOFTWARE APPLICATION DOCUMENTATION, INCLUDING USER MANUALS AND DESIGN DOCUMENTATION PER WAC 434-663-530.
<input type="checkbox"/> YES	4. Quality controls have been made to meet all the legal requirements of the digitized images, scanning, density and compression/decompression of data scanned/imaged per WACs 434-663-300, 434-663-305, 434-663-325?
<input type="checkbox"/> YES	5. If requested, I can provide to the Committee any documentation pertaining to the items 1-3.

Operational Procedures

a. Methods of input/output sources:

1. Are there written procedures for how the document imaging system's records are:							
CREATED	<input type="checkbox"/> YES <input type="checkbox"/> NO		INDEXED	<input type="checkbox"/> YES <input type="checkbox"/> NO		SCANNED	<input type="checkbox"/> YES <input type="checkbox"/> NO
DELETED	<input type="checkbox"/> YES <input type="checkbox"/> NO		MODIFIED	<input type="checkbox"/> YES <input type="checkbox"/> NO		VERIFIED ³	<input type="checkbox"/> YES <input type="checkbox"/> NO

b. Usability of image and index data over time per WAC 434-663-700:

1. WILL THE INFORMATION REMAIN ACCESSIBLE FOR THE ENTIRE RETENTION PERIOD OF THE RECORD SERIES?	<input type="checkbox"/> YES <input type="checkbox"/> NO
2. Has the agency insured proper environmental condition, periodic recopying, and strategies to preserve data by migration from one generation of technology to another?	<input type="checkbox"/> YES <input type="checkbox"/> NO

c. Record keeping capabilities for security and retention per WAC 434-663-705:

1. Does the system track at the records series level?	<input type="checkbox"/> YES <input type="checkbox"/> NO	2. Does the system have authentication functions to meet legal, audit, and administrative capabilities? (Attach audit documentation)	<input type="checkbox"/> YES <input type="checkbox"/> NO
3. Does the system have the ability to properly dispose of records that have met their retention?	<input type="checkbox"/> YES <input type="checkbox"/> NO	4. Are file header's in place for long-term retentions (over 10 years) or archival records?	<input type="checkbox"/> YES <input type="checkbox"/> NO
5. Does the system include limited access and update privileges (as password hierarchy or other system security measures)?	<input type="checkbox"/> YES <input type="checkbox"/> NO	6. Does the system have indexing capabilities that provide flexibility in associating a record series with multiple subject categories, facilitate access and retrieval and provide links to related records or supporting documentation?	<input type="checkbox"/> YES <input type="checkbox"/> NO

d. Methods of security system backups is based on data lost if having to be restored per WAC 434-663-740:

³ CAUTION: Images need to go through a strict verification process before the paper documents are destroyed to insure that text boxes were not overlaid on the original data without being detected, especially documents designated as Official Public Records (OPR) WAC .

1. Are multiple backups made and stored in different locations?	<input type="checkbox"/> YES <input type="checkbox"/> NO
2. Is one of those copies stored off site?	<input type="checkbox"/> YES <input type="checkbox"/> NO
3. Is one backup copy stored on a nonproprietary format?	<input type="checkbox"/> YES <input type="checkbox"/> NO
4. Is the Security backup inspected using the de facto or industry standards on a regular schedule and replaced before predicted failure?	<input type="checkbox"/> YES <input type="checkbox"/> NO
5. If one backup copy is found to be corrupt or containing read errors, is the discrepancy located and are the production and back-up copies corrected to contain the accurate version of the original images?	<input type="checkbox"/> YES <input type="checkbox"/> NO
6. List the location(s) of the security backup kept off site:	

e. Ensuring usability per WAC 434-663-750:

- ☐ Yes, the system meets the legal requirements to include an electronic error checking utility that will check the integrity of the data when written to the media.

Standards or best practices for storage of electronic media

(WAC 434-663-760)

Do the environmental and safety controls meet the established standards?

☐ YES ☐ NO

DATA MIGRATION PLAN

Attach your data migration plan if the agency is: 1) maintaining public records that are ten years or longer, or 2) records are designated archival. It is recommended to migrate optical media and magnetic media at least every ten years or sooner as is necessary to avoid technical obsolescence, loss of readability, and excessive read error rates per WAC 434-663-720 (3).

CONTINUED ACCESS TO DATA

If the Electronic Imaging System cannot be maintained for the specific retention approved by the State Archivist or State Auditor representative on the Records Committee for the length of the retention, do you have plans in place to do the following per WAC 434-663-770?

1. Do you have plans to migrate the information to a new system without loss to the image or indexes? ☐ YES ☐ NO
2. If data is not migrated, do you have plans in place to maintain hardware, operating system, and applications of software necessary to access the data for the retention of the information? ☐ YES ☐ NO

DATA CONVERSION COST /DISASTER PLANNING

- a. Has your system planning included analysis of future information access, maintenance, data conversion, and security cost per WAC 434-663-780? ☐ YES ☐ NO
- b. Have you included a disaster preparedness plan if the system fails in case of a disaster? ☐ YES ☐ NO

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